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Independent Evaluation Section



MID-TERM INDEPENDENT IN-DEPTH EVALUATION

Global Firearms Programme: Countering Illicit Arms Trafficking and its Links to Transnational Organized Crime and Terrorism

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This published evaluation report was validated and produced by Chantelle Cullis (independent evaluator) based on data collection, analysis and reporting by Pierre Robert (independent evaluator) and Bruno Langeani (substantive expert in firearms) under the supervision of Independent Evaluation Section (IES) of the United Nations Office on Drugs and Crime (UNODC). IES provides normative tools, guidelines and templates to be used in the evaluation process of project.

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ABBREVIATIONS AND ACRONYMS

Abbreviation or Acronym	Full name	Abbreviation or Acronym	Full name
ANMAC	Argentinian National Agency for Firearms and Controlled Artefacts (its Spanish initials)	NGO	Non-Governmental Organisation
ATT	Arms Trade Treaty	MS	Member State
AU	African Union	MTE	Mid-Term Evaluation
BiH	Bosnia and Herzegovina	OAS	The Organization of American States
CCP	Container Control Programme	PoA	Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects
CoP	Conference of the Parties	PTCCU	Prevention of trafficking and countering criminal use
CSO	Civil Society Organisation	SALW	Small Arms and Light Weapons
DG-DEVCO	Directorate-General for International Cooperation and Development	RBM	Results-based Management
E4J	Education for Justice	SAS	Small Arms Survey
ECOWAS	Economic Community of West African States	SDG	Sustainable Development Goals
EUROPOL	European Union Agency for Law Enforcement Cooperation	SEESAC	Southeast and East Europe Small Arms Clearinghouse
GFP	Global Firearms Programme	ToC	Theory of Change
HG	Headquarters	ToR	Terms of Reference
ID	Identity	ToT	Training of Trainers
IES	Independent Evaluation Section	UNDP	United Nations Development Programme

Abbreviation or Acronym	Full name	Abbreviation or Acronym	Full name
IfS	Instrument for Stability	UNIDIR	United Nations Institute for Disarmament Research
IGO	Intergovernmental Organisation	UNODA	United Nations Office for Disarmament Affairs
INTERPOL	The International Criminal Police Organization	UNSCAR	United Nations Trust Facility Supporting Cooperation on Arms Regulation
JPO	Junior Professional Officer	UNTOC	United Nations Convention on Transnational and organised crime
MENA	Middle East and North Africa	UNV	United Nations Volunteer
MERCOSUR	The Southern Common Market (in its Spanish initials)	WCO	World Customs Organization
MTE	Mid-Term Evaluation	WGFA	Working Group on Firearms

MANAGEMENT RESPONSE

Management Response

This Management Response is the reaction and reply of UNODC's Global Firearms Programme to the Evaluation Report. Overall UNODC is satisfied with the execution of the independent in-depth evaluation, which directly supports the Programme in identifying key areas to strengthen the impact of its initiatives and continuing its growth process.

On the findings

UNODC notes with satisfaction that the evaluators acknowledge the appropriateness of the programme design and intervention logic as "sound and well thought out" since this has been the basis of the Programme's actions and is indeed intended to offer a holistic and integrated response to the illicit firearms problem. UNODC also notes that the programme was deemed relevant to the achievement of SDG Goal 16.4. The evaluation recognizes that the programme encompasses initiatives emerging from a sound analysis not only of the illicit firearms proliferation problem, but also of international agreements on firearms, initiatives that were deemed efficient, with a high budgetary execution rate, but also effective in terms of tangible results. UNODC notes with appreciation the evaluators positive appreciation of the team members' "in-depth expertise and extensive experience in dealing with the trafficking and criminal use of firearms" as a major contributor to the Programme's success. UNODC will work to enhance its logical framework to ensure a greater availability of measurable indicators.

The evaluators also pointed out the impact of the Programme in shifting Member States priorities towards a greater focus on the fight against illicit firearms trafficking, key to the success of the various Programme initiatives under its different pillars. This includes efforts towards improved sustainability by increasing the capacities of national stakeholders, ownership of monitoring trafficking flows and actors, and the exchange of information. The evaluation also highlights the Programme's work in engaging with different partners across its mandates as well as wide ranging cooperation relations at various levels.

By its very nature the Programme was deemed to be conducive to safeguarding Human Rights given its focus on reducing armed violence and promoting the Rule of Law, and evaluators recommended the need to adopt a Human Rights based approach to programming. Indeed, UNODC recognizes the need for better mainstreaming not only of Human Rights in its programming, but also of Gender Equality and a greater focus of vulnerable and underrepresented groups, including youth.

On the recommendations

Overall UNODC considers the recommendations appropriate considering the evaluations findings. The Global Firearms Programme remains committed in furthering its efforts to improve the criminal justice response of Member States to the illicit firearms trafficking problem (Recommendation 1). The Programme's efforts are already geared in this direction and it will make sure to develop additional tools that can support this fight in a sustainable manner. This goes hand in hand with strengthening the institutionalization of capacity building efforts in target countries (Recommendation 3), ensuring also greater ownership from Member States and leading to increasing the efficiency, impact and effectiveness of the Programme's initiatives.

The Programme is also committed to seeking opportunities to increase its global coverage, in fact it has been increasing its reach since its creation (Recommendation 2). The only limitation to fully accepting this recommendation (it is partially accepted) is due to its financial implications, which can be outside of the Programme's control. It is also important to take into account the sustainability of new funding, and its availability over a period of time that is conducive to have an impact on the ground. The GFP is also committed

to further strengthening its cooperation agreements with several actors, including within UNODC, and its various programmes -given the great potential to exploit synergies and links between different kinds of trafficking-, as well as also with CSOs, with which the Programme is currently engaged, and which could further benefit from more regular and long term collaboration (Recommendation 4).

UNODC also accepts recommendations towards a better programmatic framework with regards to the need to improve the mainstreaming of Human Rights and Gender Equality in its activities (Recommendations 5) as well as furthering developing the result based management focus of the programme (Recommendations 6), and notes with appreciation the acknowledgement that there have already been efforts towards this end.

Recommendations ¹	Management Response
1. Strengthen GFP’s focus on criminal justice responses and on the interconnected and cross-cutting aspects of illicit firearms trafficking (GFP Head of Programme and Programme Management team)	Accepted
2. Seek opportunities for increasing the global coverage of the programme (Head of Programme)	Partially accepted (subject to the availability of funding and its sustainability)
3: Give increased attention to the institutionalization of capacity building efforts in target countries (GFP Head of Programme and Programme Management Team)	Accepted
4. Strengthen cooperation relationships within UNODC and with CSOs (GFP Head of Programme and Programme Management team).	Accepted
5. Improve GFP’s mainstreaming of Human Rights and Gender Equality (UNODC’s senior management and GFP Programme Management team).	Accepted
6. Further develop the RBM focus of the programme (GFP Head of Programme and Programme Management team)	Accepted

¹ Please refer to the full, detailed recommendations in the respective chapter (“Recommendations”) in the report.

INTRODUCTION

This is the report of the **independent in-depth mid-term evaluation (MTE) of UNODC’s global programme for “Countering illicit arms trafficking and its links to transnational organized crime and terrorism”, namely the Global Firearms Programme (GFP, coded GLOX34)**. The GFP has been implemented since March 2011 by the Organized Crime and Illicit Trafficking Branch (OCB) of UNODC. The programme contributes to a number of UNODC country, regional and thematic programmes and to aspects of Sustainable Development Goals 5, 16 and 17, in particular Target 16.4, which aims at significantly reducing by 2030 illicit financial and arms flows, strengthening recovery and return of stolen assets, and combating all forms of organized crime.

There is a large body of research linking illicit trafficking in firearms to transnational organized crime, various forms of criminality and to the actions of violent extremist groups. The **fight against illicit trafficking in firearms** is a complex issue that involves multiple key elements, including: (i) awareness and commitment by MS governments and other stakeholders (such as CSOs and parliamentarians); (ii) legislative advice and drafting support; (iii) marking firearms, so that they can be uniquely identified in the future; (iv) record keeping, to enable the traceability of firearms; (v) secure and safe storage and disposal of decommissioned firearms, as well as their parts and components and ammunition; (vi) detection, seizure and confiscation of firearms of illegal origin or in a context of illegality; (vii) criminal justice response, so as to detect, investigate, prosecute and adjudicate offences related to the illicit manufacturing of and trafficking in firearms; (viii) tracing firearms; and (viii) analysis and feedback of the information and lessons learned.

PROJECT DESCRIPTION AND OBJECTIVES

The **GFP** began as a single global project targeting 15 countries, which aimed at countering transnational illicit trafficking in firearms and related forms of organized crime by promoting the ratification of UNTOC and its Firearms Protocol in selected countries in South America, Africa and the Caribbean. The design of the GFP evolved over time so as: (i) to develop a holistic approach to preventing and countering firearms trafficking, which addresses the key elements above by combining legal, regulatory, law enforcement and criminal justice responses, advocacy and research components; and (ii) to broaden the geographic coverage of the programme, which now is global –with geographical focus in Africa, Latin America and Western Balkans.

The **overall objective** of the GFP is “to prevent and counter illicit manufacturing of and trafficking in firearms, and their links to transnational organized crime and terrorism” through the ratification and implementation of UNTOC and the Firearms Protocol; with GFP’s efforts being structured around five **work streams or “pillars”**: Adequate policy and legislative frameworks (Pillar 1); Comprehensive firearms control and regulatory frameworks (Pillar 2); Effective criminal justice responses (Pillar 3); Communities of practitioners to enhance international cooperation and information (Pillar 4); and Monitoring illicit arms flows and achievement of UNSDG 16.4 (Pillar 5). In addition, the programme structure integrates four **cross-cutting elements**: gender, civil society engagement, Human Rights, and rule of law.

At the time of the MTE, the Programme had implemented eight **projects**. Three of them were funded by the EU, including the initial, IfS-funded GFP project (March 2011 – July 2015); one project funded by the DEVCO, with a focus on countering illicit arms trafficking through the implementation of UNTOC and its FP (August 2018 – August 2021); and DG Home’s project focusing on supporting firearms global data collection and analysis (April 2017 – October 2019). Three GFP projects were funded by Germany and had regional focus – two on the Sahel (March 2017 – December 2019) and one on the Western Balkans (August 2018 – December 2019). Another project was funded by UNSCAR, with a focus on promoting synergies between international

arms control instruments (January 2015 – December 2015²). The programme received additional funds from France, Italy, and Sweden³.

PURPOSE, SCOPE AND METHODOLOGY OF EVALUATION

The main **purpose of this MTE** is to assess the methodological concept and overall implementation and impact of the GFP. Its scope covers from **March 2011 to February 2020** the entirety of the GFP, including its eight constituent projects, and the GFP team's work in relation with UNODC's role as the secretariat of the UNTOC Conference of the Parties and its Working Group on Firearms; and the support provided to the firearms segments within the Sahel Programme and Education for Justice (E4J) initiative (XAMZ17 and GLOZ82 respectively). The **intended users of the evaluation** are GFP's management team, programme stakeholders and donors. The MTE is expected to allow to consolidate achievements, to enable GFP management to inform future development of the programme and better draw lessons learned, and to contribute to accountability.

This MTE follows a mixed-methods, gender-responsive, inclusive **evaluation methodology** approach, in line with UNEG and UNODC evaluation norms and standards as well as requirements. The data collection for this MTE took place between November 2019 and March 2020. The data analysis included secondary data assessed as part of the desk review as well as primary data collected during the field missions in the form of observations, semi-structured interviews and focus group discussions in Austria, Bosnia and Herzegovina, Burkina Faso, Niger, and Argentina. Triangulation of information ensured an objective and thorough analysis of all collected data, which formed the basis for showing findings, drawing conclusions, formulating recommendations, and identifying lessons learned and good practices.

MAIN FINDINGS

The overall **design** of the programme is sound and well thought out. The intervention logic of the programme is appropriate in that it takes a holistic approach to the fight against illicit trafficking in firearms, addressing each key element of the fight against illicit trafficking in firearms. The overall programme document provides a problem analysis, including sections dedicated to the analysis of the different regional contexts and priority issues, and a description of the strategic approach and its intervention logic. Results are visible across each of the 5 pillars and, although the expected programme impacts are left somewhat implicit, these are easily deduced from the narrative problem analysis and the logical frameworks of the individual projects. GFP's funding is clearly not in line with the magnitude of the challenge it seeks to address.

In terms of **relevance**, the GFP is relevant to the achievement of SDG Goal 16.4. The programme was developed on the basis of a sound analysis of the international agreements on firearms and of the challenges faced around the world in relation to control of firearms trafficking and criminal use, defining further linkages to transnational organized crime. The GFP, and constituent projects, address the needs and priorities of target countries across each of the programme's 5 pillars, implementing highly relevant initiatives and activities, working with increasing synergy with stakeholders to determine specific areas of collaboration. Relevance could be furthered by increasing GFP's focus on gaps in capacities, especially in relation to criminal justice reform.

Regarding **efficiency**, the GFP and its constituent projects benefit from the team members' in-depth expertise and extensive experience of dealing with trafficking and criminal use of firearms. With an overall execution rate of 73%, budget underspending in some projects stems primarily from staff recruitment procedures and logistical and organisational challenges. Project funds were used as originally intended and there were no cost overruns. While resource constraints may have hindered the programme's efficiency by hampering the implementation of some activities, and by making it difficult to relocate funds towards

² After the completion of the data collection for this MTE, the UNSCAR project received a no cost extension for a few more months.

³ Additional funding, by UNOCT and Russian Federation, allowed to launch a new project, launched in in January 2020, that focuses on preventing terrorists from acquiring weapons in Central Asia.

underfunded efforts, the GFP team has mitigated this factor through an active management of resources available. Recruitment of several field-based staff across 2020 has increased the geographic balance of GFP's staffing base between Vienna-HQ and the field and expanded the GFP team's capacities to act at national/sub-regional level.

In terms of **effectiveness**, the GFP is carrying out a wide range of activities and achieving a number of tangible results. Both interviews and reporting documents show that the GFP is implementing activities in all target regions, and that a wealth of outputs and outcomes are being achieved across all 5 pillars of GFP's work. The improvement of capacities of stakeholders is one key result of the programme, which could be furthered by giving increased emphasis to institutionalizing efforts so as to mitigate the challenges posed by the high rotation of staff within beneficiary organizations. The assessment of effectiveness at the outcome level of the overall GFP –and that of some of the individual projects– should be interpreted with caution, given the limited availability in GFP logframes of measurable indicators with baseline and target values.

The GFP has achieved attributable elements of **impact** at the international and country level. The programme is contributing to SDG 16. The Programme has generated the necessary shift in Member State perspectives and priorities towards firearms trafficking, providing the fundamental basis for the success of initiatives under each of the 5 pillars of the GFP. Revised national legislation implementing relevant provisions of UNTOC, the Firearms Protocol and other relevant instruments, increased beneficiary capacities as well as national initiatives to strengthen national firearms data collection, monitoring and information-sharing mechanisms are important achievements of the GFP that constitute visible elements of impact.

The GFP is a major contributor to the **sustainability** of the worldwide activities addressing illicit trafficking in firearms. Besides the institutional role of UNODC, clear elements of sustainability of GFP's efforts are the preparation of draft laws and regulations with GFP's support and the increased awareness and prioritization of firearms trafficking issues by Member States. In addition, the development of skills of national practitioners and stakeholders, the increased exchange of experiences among stakeholders, the increased ownership of firearms monitoring efforts by Member States factors, and the increased knowledge of firearms issues and flows are factors contributing to the sustainability of GFP's joint efforts with MS. In this regard, the team's ongoing interactions with national stakeholders, its collective expertise and capacity to provide ad hoc advice as well as structured policy documents, are all contributing to long-term results.

In line with the notion of partnerships as a continuum encompassing both formal agreements and informal linkages, the programme involves a large number of **partnerships** and a wide range of **cooperation** relations both at the national and regional levels. Strong engagements and the development of collaboration and information sharing between Member States is noted. There is scope for greater engagement with civil society, particularly in terms of advocacy and awareness raising campaigns aimed at the media and the wider public. There is also scope for the research and monitoring pillar of the GFP to build on existing cooperation examples and further benefit from further engagement with relevant civil society organisations dealing with firearms trafficking, including gender initiatives and other forms of transnational organized crime.

The programme, by its very nature, is conducive to safeguarding **Human Rights** in the sense that a reduction in armed violence helps safeguard basic Human Rights such as the rights to life, security, physical integrity. While Human Rights have been taken into account in several activities, the programme and its constituent projects to date have not adopted a Human Rights-based approach to programming. The programme and project documents refer only in passing to **vulnerable or under-represented groups** (as well as youth) and the design of projects does not include an explicit consideration of vulnerability. The issues of **Gender Equality** and mainstreaming are explicitly raised in a number of project documents and reports, as well as in the GFP logframe. The GFP is in agreement that more can be done to mainstream gender issues into each pillar of its work, designating a focal point, with funds now earmarked to explore niche areas where there may be more opportunities for women in programming initiatives.

The successive revisions of the GLOX34 project document constitute a form of evidence that aspects of the project's approach evolved in part as a result of **lessons learned** from implementation. The issue of arms

trafficking needs to continue to be addressed along with other forms of trafficking, transnational organised crime, and other types of criminality. The GFP continues to incorporate these elements into their programming, blending together the 5 pillars that make up the holistic structure of the programme.

MAIN CONCLUSIONS

1. The GFP has markedly strengthened international efforts to fight trafficking in firearms and related criminality. The GFP is one of the most relevant international actors in its field. The unique expertise and excellent reputation among stakeholders of the GFP genuinely adds value to UNODC.
2. A key strength of the GFP is its holistic approach, combining legal, regulatory, law enforcement and criminal justice responses, advocacy and research components –which has proved effective in shifting perspectives and priorities in Member States as well as in triggering tangible improvements in a wide-range of areas including firearm marking, firearm control and criminal justice investigations, and monitoring and analysis of firearms flows.
3. The GFP’s pillar-based structure and intervention logic are consistent with its holistic approach. The strategic focus and results-orientation of the programme could be enhanced by fully developing the GFP’s theory of change, and by revising GFP’s logical framework and progress reports, in line with UNODC’s guidance on RBM.
4. The GFP and its constituent projects have met clear needs for institutional capacity building in relation to firearms trafficking. Since the near-universal accession to UNTOC by UN Member States and the support by a great majority of governments for the Firearms Protocol, the need to prioritise implementation capacity at national level, has been correctly identified and addressed.
5. The GFP team combines in-depth expertise and a long and credible record of work addressing firearms trafficking and related criminality; its commitment and skills have been key to GFP successes. The team is a strong asset for the programme.
6. Despite delays in some activities, project funds were used as originally intended and there were no cost overruns. With an overall budget execution rate of 73%, active management (i.e., the relocation of funds from the Jamaica pilot to broaden the scope of the global study on firearms) allowed to mitigate the challenges posed by the fragmentation of sources of funding.
7. The GFP team structure during the period covered by this MTE was mainly centralised in HQ-Vienna, with some staff based in the field. The deployment of additional staff to the field in 2020 creates opportunities for further devolution of decision-making to the field.
8. GFP’s funding is not commensurate with the magnitude of the challenge it seeks to address. Despite the expansion of the programme in recent years, funding constraints limit the capacity of the programme to further expand its geographic scope.
9. The GFP has developed a number of informal relationships and cooperation arrangements with Member States, international organisations, civil society organisations and academia. These partnerships have contributed to increase cooperation and create a sense of connectivity between firearms practitioners of different institutions and countries. The GFP is also collaborating with other UNODC country, regional and thematic programmes. In this regard, there is a strong opportunity for the GFP to work in closer collaboration with other global programmes, for example, the UNODC-WCO CCP.
10. The programme as a whole has helped make the COP and WGFA an effective international forum for national stakeholders to exchange experience. The team’s pro-active approach to the work of the COP and WGFA helps advance the firearms control agenda and supports the Community of Practitioners component of the GFP strategy.
11. Human Rights and gender aspects have not always been adequately addressed. Although programme design and project proposals refer to gender issues, in particular in terms of the gender impact of illicit trafficking, and sometimes address gender in progress indicators, the issue of Gender Equality is not yet fully

mainstreamed in problem analyses, project design and monitoring. There is little mainstreaming of Human Rights and vulnerable groups in programming, although Human Rights are referred to in some activities.

MAIN RECOMMENDATIONS

RECOMMENDATION 1 –

(to the GFP Head of Programme and Programme Management team): Strengthen GFP’s focus on criminal justice responses and on the interconnected and cross-cutting aspects of illicit firearms trafficking: The GFP programme management team should continue to address gaps in criminal justice responses and reform, by enhancing investigative techniques, evidence collection, and increased awareness and knowledge of prosecutors and the judiciary in respect to firearms trafficking; as well as by strengthening the focus of the programme on the interconnectivity and cross-cutting aspects of the firearms problem.

RECOMMENDATION 2 –

(To the GFP Head of Programme): Seek opportunities for increasing the global coverage of the programme: The GFP should seek to further increase the global coverage of the programme, in line with the new delegation of authority framework and UNODC Strategy 2021-2025. The GFP Head of Programme should continue to adapt the team structure to the changing size and geographical scope of the Programme, taking account of realistic prospects for funding as well as emerging challenges and needs. In consultation with relevant division and branch managers and donors, the GFP Head of Programme should seek funding opportunities and examine the feasibility of further increasing the presence in the field of GFP staff and consultants beyond the intended staffing concluded by the end of 2020, as possible.

RECOMMENDATION 3 –

(to the GFP Head of Programme and Programme Management team): Give increased attention to the institutionalization of capacity building efforts in target countries: The GFP should continue efforts in the institutionalization of capacity building efforts and training programs. Expanding ToT initiatives would further develop institutional memory, which could potentially mitigate the challenges of staff rotation within counterpart organizations, increasing efficiency, impact, sustainability, and effectiveness.

RECOMMENDATION 4 –

(to the GFP Head of Programme and Programme Management team): Strengthen cooperation relationships within UNODC and with CSOs: In consultation with other programmes and country offices of UNODC and within the UN system, the GFP should seek opportunities for further developing cooperation relationships with international and local CSOs dealing with armed violence, including those dealing with gender-based violence, protection of Human Rights and vulnerable populations. Strengthening such cooperation can help further develop and implement the GFP’s holistic approach to control of firearms trafficking and related criminality. Within UNODC, the GFP should seek opportunities for closer collaboration with CCP.

RECOMMENDATION 5 –

(to UNODC’s senior management and GFP Head of Programme): Improve GFP’s mainstreaming of Human Rights and Gender Equality: UNODC’s senior management and the GFP Head of Programme should take action to ensure that a Human Rights and gender analysis of the GFP is undertaken with a view to ensuring a specific focus on Human Rights and gender mainstreaming in strategic planning, implementation, and reporting.

RECOMMENDATION 6 –

(to the GFP Head of Programme and Programme Management team): Further develop the RBM focus of the programme: Building upon the integrated and holistic approach of the GFP, the GFP programme management team should review the intervention logic of the programme, and further develop its planning and monitoring instruments (i.e. logical frameworks and progress reports) in order to make them more

results oriented, in line with UNODC's guidance on RBM. The GFP programme management team should consider the possibility of fully developing the theory of change of the GFP, as to make more explicit the linkages and synergies between GFP's pillars of work.

MAIN LESSONS LEARNED AND BEST PRACTICE

One key added value of the GFP is its holistic, strategic dimension. The programme is holistic in the sense that it seeks to address countering firearms trafficking and criminal use through a range of approaches: law, regulations, capacity building, data collection, stakeholder engagement. It is strategic in that its overall approach is based on an analysis of the underlying causes of trafficking and its link to various forms of violence.

The GFP has made an effective use of capacity building and technical support to Member States. This has allowed to create platforms for the sharing of ideas, experiences, and best practices among experts and practitioners. This is a good practice that GFP should continue and develop further, and that could inform other programmes within the UNODC.

The progress of the GFP demonstrates the importance of supporting staff development. By recruiting highly skilled senior staff and exposing them to a range of challenges and strategies on the firearms issue, the programme has strengthened the skills and expertise of its staff, thereby enhancing the value of the programme to national stakeholders as well as its own learning capacity.

Sustained consultations with stakeholders at the national level during project implementation help enhancing national ownership and ensure that individual activities address needs identified on the basis of feedback from the field. Close dialogue with stakeholders of beneficiary countries during implementation is a good practice that allows the customization of activities to the needs of the country and adaptation to changing conditions and priorities.

The GFP's flexible approach to partnership building has enabled to establish and nurture a number of informal relationships and cooperation arrangements with Member States, IGOs, CSOs and academia. These partnerships have contributed to increase cooperation and create a sense of connectivity between firearms practitioners of different institutions and countries.

The fragmentation of funding has been a hindering factor for the efficiency of the programme. Difficulties to relocate funds between projects has limited the capacity of the GFP team to apply active management – despite successful examples like the relocation of funds from the Jamaica pilot to broaden the scope of the global study on firearms.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings	Evidence ⁴	Recommendations ⁵
<p>1. Feedback from MS identified gaps in capacities related to criminal justice responses and reform, including the need for enhanced investigative techniques, evidence collection, and increased awareness and knowledge of prosecutors and the judiciary in respect to firearms trafficking. While these gaps have been identified by the GFP, strengthened focus in these areas would serve to enhance the overall relevance of ongoing projects.</p>	<p>Interviews; desk review</p>	<p>1. Strengthen GFP’s focus on criminal justice responses and on the interconnected and cross-cutting aspects of illicit firearms trafficking: The GFP programme management team should continue to address gaps in criminal justice responses and reform, by enhancing investigative techniques, evidence collection, and increased awareness and knowledge of prosecutors and the judiciary in respect to firearms trafficking; as well as by strengthening the focus of the programme on the interconnectivity and cross-cutting aspects of the firearms problem (GFP Head of Programme and Programme Management team)</p>
<p>2. Despite the expansion of the programme in recent years, GFP’s funding is not commensurate with the magnitude of the challenge it seeks to address. The GFP is active in the Western Balkans, the Sahel region, and in parts of South America. While activities are being developed in parts of Central Asia, in Africa outside the Sahel, Central and South America, the Middle East, and South and Southeast Asia, funding constraints hamper the expansion of GFP’s coverage to these, and to other regions.</p>	<p>Desk review; interviews</p>	<p>2. Seek opportunities for increasing the global coverage of the programme: The GFP should seek to further increase the global coverage of the programme, in line with the new delegation of authority framework and UNODC Strategy 2021-2025. The GFP Head of Programme should continue to adapt the team structure to the changing size and geographical scope of the Programme, taking account of realistic prospects for funding as well as emerging challenges and needs. In consultation with relevant division and branch managers and donors, the GFP Head of Programme should seek funding opportunities and examine the feasibility of further increasing the presence in the field of GFP staff and consultants beyond the intended staffing concluded by the end of 2020, as possible. (Head of Programme)</p>

⁴ General sources that substantiate the findings.

⁵ Should include the specific target group of implementing recipient(s) at UNODC.

Findings	Evidence ⁴	Recommendations ⁵
<p>3. Despite the proven success of training initiatives, the overall effectiveness of the GFP is hampered by the high rotation of staff within beneficiary organizations. This challenge, frequent in training activities, could be potentially mitigated by focusing on institutionalized learning, through continued delivery of ToT programmes.</p>	<p>Interviews; desk review</p>	<p>3: Give increased attention to the institutionalization of capacity building efforts in target countries: The GFP should continue efforts in the institutionalization of capacity building efforts and training programs. Expanding ToT initiatives would further develop institutional memory, which could potentially mitigate the challenges of staff rotation within counterpart organizations, increasing efficiency, impact, sustainability, and effectiveness. (GFP Head of Programme and Programme Management Team)</p>
<p>4. The GFP has established and nurtured a number of informal relationships and cooperation arrangements with MS, IGOs, CSOs and academia. These partnerships have contributed to increase cooperation and create a sense of connectivity between firearms practitioners of different institutions and countries. There is scope for greater engagement with CSOs, particularly in terms of advocacy and awareness raising campaigns aimed at the media and the wider public. The GFP is collaborating with other UNODC country, regional and thematic programmes as well. In this regard, there is a strong opportunity for the GFP to work in closer collaboration with the CCP.</p>	<p>Interviews; desk review</p>	<p>4. Strengthen cooperation relationships within UNODC and with CSOs: In consultation with other programmes and country offices of UNODC and within the UN system, the GFP should seek opportunities for further developing cooperation relationships with international and local civil society organisations dealing with armed violence, including those dealing with gender-based violence, protection of Human Rights and vulnerable populations. Strengthening such cooperation can help further develop and implement the GFP’s holistic approach to control of firearms trafficking and related criminality. Within UNODC, the GFP should seek opportunities for closer collaboration with the CCP (GFP Head of Programme and Programme Management team).</p>
<p>5. Although programme design and project proposals refer to gender issues (i.e., the gender impact of illicit trafficking) and sometimes address gender in progress indicators, Gender Equality is not yet fully mainstreamed in problem analyses, project design and monitoring. There is little mainstreaming of Human Rights and vulnerable groups in programming, although Human Rights are referred to in some activities.</p>	<p>Desk review; interviews</p>	<p>5. Improve GFP’s mainstreaming of Human Rights and Gender Equality: UNODC’s senior management and the GFP Head of Programme should take action to ensure that a Human Rights and gender analysis of the GFP is undertaken with a view to ensuring a specific focus on Human Rights and gender mainstreaming in strategic planning, implementation, and reporting. (UNODC’s senior management and GFP Programme Management team).</p>

Findings	Evidence ⁴	Recommendations ⁵
<p>6. Future phases of the project, or similar regional/sub-regional GFP projects, could benefit of further developing its results orientation, by defining SMART indicators, in line with UNODC's results-based management handbook. This would facilitate monitoring progress towards the achievement project goals at the outcome level, beyond the current focus on activities and products of progress reports. Similarly, future project proposals and progress reports could benefit of more explicitly considering the specificities of context in relation with the activities undertaken.</p>	<p>Desk review, Interviews</p>	<p>6. Further develop the RBM focus of the programme: Building upon the integrated and holistic approach of the GFP, the GFP programme management team should review the intervention logic of the programme, and further develop its planning and monitoring instruments (i.e. logical frameworks and progress reports) in order to make them more results oriented, in line with UNODC's guidance on RBM. The GFP programme management team should consider the possibility of fully developing the theory of change of the GFP, as to make more explicit the linkages and synergies between GFP's pillars of work. (GFP Head of Programme and Programme Management team)</p>

I. INTRODUCTION

BACKGROUND AND CONTEXT

This is the report of the independent in-depth mid-term evaluation (MTE) of UNODC’s global programme for “Countering illicit arms trafficking and its links to transnational organized crime and terrorism”, namely the Global Firearms Programme (GFP)⁶. The GFP has been implemented since March 2011 by the Organized Crime and Illicit Trafficking Branch (OCB) of UNODC. At the time of the MTE, the Programme had implemented eight projects, the first of which started on 1 March 2011, while the last project is scheduled to end on 8 August 2021. The Total Approved Budget for the Programme is US\$ 10.25m; the Total Overall Budget being US\$12.15m. According to figures from June 2020, total programme expenditure by then amounted to US\$7.47m⁷. The following donors funded projects: European Union (EU); France; Germany; Italy; and Sweden. The United Nations Trust Facility Supporting Cooperation and Arms Regulation (UNSCAR) provided additional project funding.

According to the Terms of Reference (ToR) of this MTE, its scope covers the entirety of the GFP in the period from March 2011 to February 2020. The ToR note that the programme contributes to a number of countries, regional and thematic programmes and to aspects of Sustainable Development Goals (SDGs) 5, 16 and 17, in particular Target 16.4, which aims at significantly reducing by 2030 illicit financial and arms flows, strengthening recovery and return of stolen assets, and combating all forms of organized crime. The ToR further states that the MTE should help programme managers to better draw lessons learned and inform the future development and implementation of projects. The main users of the evaluation will be the programme management team, staff, stakeholders and donors.

The global fight against illicit trafficking in firearms and its links to transnational organised crime and terrorism

There is a large body of research (including GFP publications) linking illicit trafficking in firearms⁸ to transnational organized crime, various forms of criminality and to the actions of violent extremist groups⁹. Fighting illicit trafficking is but one strategy aiming at reducing criminality and terrorism –

⁷ The GFP received additional donor funding in 2020. Activities covered by the new funding fall outside the scope of this evaluation.

⁸ Throughout the report, references to firearms should be understood to include firearms, their parts and components, and ammunition, unless otherwise specified.

⁹ This is discussed in the Global Study on Firearms Trafficking 2020, released in July 2020 by the GFP (see Chapter 4 “Links to Organized Crime, Terrorism and Other Forms of Crime”, pages 76-84). The report highlights inter alia the link between firearms trafficking and organized crime, and with the incidence of homicides. The linkages between organized crime and trafficking in people have been studied by, among others, the Global Initiative against Transnational Organized Crime (see for example the 2019 Policy Brief “Trafficking in Persons in Conflict Contexts”, available on the organization’s website (www.globalinitiative.net)). The Global Study also mentions the report of the Flemish Peace Institute entitled “Firearms acquisition by terrorists in Europe – Research findings

other strategies include military responses and policing/internal security. In general terms, the fight against illicit trafficking in firearms can be represented as a project cycle including the following key elements:

- **Awareness and commitment.** This is the stage where governments and other stakeholders, such as CSOs and parliaments take note of the need to fight illicit firearms trafficking and make policy decisions, such as ratification of international agreements and adoption of new legislation and regulations concerning the legal firearms production, acquisition and transfers, and the enforcement of these norms through adequate criminal justice responses. This stage also includes an institutional dimension, for example when governments decide to establish specialised units or centres within law enforcement and prosecution services, and to set up national commissions or focal points that enhance inter-institutional coordination when addressing trafficking or small arms and light weapons (SALW) proliferation and to implement international instruments.
- **Legislative advice and drafting support:** This is a crucial step where governments and legislative bodies review and assess their legislative and institutional frameworks on firearms as well as their criminal, procedural and customs codes and provisions, and take actions to amend or draft relevant provisions to comply with and align their domestic legal regime to the regional and international framework and to international standards. It is also the stage where countries critically assess the feasibility of implementing the recommended provisions at the national level.
- **Marking.** This is a key technical step, consisting in ensuring that all firearms carry a unique identification number. In countries where manufacturers are required to provide each weapon with a unique and inerasable ID number, a standard format for communicating the ID number in conjunction with unique manufacturer ID and other key information needs to be developed and implemented. Moreover, countries have also obligations under the Firearms Protocol and under regional instruments, to mark firearms not only upon manufacture, but also upon import, as well as confiscated and deactivated firearms.
- **Record keeping.** This step is just as important as marking and consists of entering firearms data into a database that can be used to trace weapons. Such data should be continuously maintained and updated, so as to ensure a seamless chain of records of the firearms and its movements throughout its entire lifecycle, from manufacturing until its final disposal.
- **Secure and safe storage and disposal.** This is the process of ensuring that all firearms, their parts and components and ammunition – no matter if in civilian hands or owned by law enforcement or military - are kept, at all times, in a safe and secure environment in order to reduce the risks of theft, loss, or diversion, as well as prevent hazardous situations.
- **Seizure and confiscation.** This is the process of detecting firearms of either illegal origin or in a context of illegality, and of taking those items out of circulation by temporarily or permanently depriving the owners of their property. This is a precondition to conduct

and policy recommendations of Project SAFTE”.

further investigations on the firearms and to reduce the proliferation of illegal arms in circulation.

- **Criminal justice response:** This is the action aimed at supporting the work of law enforcement and judicial services to detect, investigate, prosecute and adjudicate offences related to the illicit manufacturing of and trafficking in firearms. It helps countries to uphold the rule of law and constitutes an essential pre-condition to disrupt illicit trafficking flows and related criminal organizations or networks and bring perpetrators to justice.
- **Tracing.** This is the process of using the ID numbers and the recording system to work out the route taken by a firearm between production (or import) and its final destination utilizing investigative strategies, to identify the point and mechanism whereby the firearm became illicit.
- **Analysis.** This is the process of using available information to identify traffic flows and generate intelligence reports that may be of use to law enforcement and other government agencies.
- **Feedback.** This is the stage where additional steps may be taken on the basis of lessons learned from the previous elements of the cycle, with a view to enhancing effectiveness of the fight against illicit trafficking.

OVERALL CONCEPT AND DESIGN

The Global Firearms Programme

The GFP's approach towards the issue of illicit trafficking in firearms and its links to transnational organised crime and terrorism is holistic, in that the awareness raising, advisory services, training and capacity building activities that it undertakes address all the key elements of the project cycle above. As for its funding components, the **projects constituting the Global Firearms Programme (GFP)** during the time scope of this MTE (from March 2011 to February 2020) are:

- Project "Countering transnational illicit arms trafficking through the implementation of the Firearms Protocol": 1 March 2011 – 31 July 2015 (funded by the EU's IFS);
- Project "Addressing the synergies between the ATT, the PoA and other legal instruments on firearms in the areas of marking, record keeping, transfer controls enforcement and international cooperation": 1 January 2015 – 31 December 2015 (funded by UNSCAR);
- Project "GLOX34 – Countering transnational illicit arms trafficking in the Sahel and Maghreb sub regions": 1 March 2017 – 31 July 2018; followed by "GLOX 34 – Countering transnational illicit arms trafficking in the Sahel sub region and its links to terrorist and organized crime threats": 1 August 2018 – 31 December 2019 (both projects funded by Germany);
- Project "GLOX34 – Countering transnational illicit arms trafficking in the Western Balkans and improving cross border cooperation": 1 March 2017 – 31 July 2018; followed by "GLOX34 – Support for the implementation of the Roadmap for a sustainable solution to misuse and trafficking of firearms in the Western Balkan": 1 August 2018 – 31 December 2019 (both projects funded by Germany);

- Project “Supporting Global Data Collection and Analysis on Firearms Trafficking and Fostering Cooperation and Information Sharing, in particular Among Countries along Major Trafficking Routes to/from the EU”: 01 April 2017 – 31 October 2019 (funded by the EU’s DG DEVCO);
- Project “Countering transnational illicit arms trafficking through the implementation of the United Nations Convention Against Transnational Organized Crime and its Firearms Protocol”: 9 August 2018 – 8 August 2021 (funded by the EU’s DG Home).

In addition, the MTE encompasses the work done by the GFP in relation to UNODC’s role as the secretariat of the UNTOC Conference of the Parties (COP) and its Working Group on Firearms (WGFA). At the onset of the evaluation, the financing for this role was the only part of the GFP that is co-funded from UNODC’s regular budget, all other programme activities being donor-funded¹⁰.

Further, the MTE also encompasses the support provided to the firearms aspects of the Sahel Programme and Education for Justice (E4J) initiative (XAMZ17 and GLOZ82 respectively). Figure 1 below summarises the timeline and budgets of the constituent projects of the GFP under consideration.

The **Global Firearms Programme** began in 2011 as a single global project targeting 15 countries with the overall objective “to counter transnational illicit trafficking in firearms and related forms of organized crime” by promoting the ratification of UNTOC and its Firearms Protocol in selected countries in South America, Africa and the Caribbean.¹¹ The original GFP had the following three specific objectives, summarised as follows from the 2010 project document:

1. To advocate for global adherence to the Firearms Protocol;
2. To strengthen the capacity of countries to implement the Firearms protocol and UNTOC; and
3. To increase awareness and knowledge of firearms trafficking and its transnational dimension.

The design of the GFP evolved over time in order to develop its holistic approach to preventing and countering firearms trafficking and broaden its geographic coverage. In particular, the GFP underwent project revisions in 2014, 2015, 2017 and 2018. Target countries were added and one withdrawn, and the range of activities was modified. The most important changes took place in 2015, when the sub-objectives were re-arranged around four pillars¹², and in 2017, when the objective was updated to:

¹⁰ The GFP team informed that the RB-funded position of the GFP has recently been reassigned to UNODC’s Human Trafficking and Migrant Smuggling Section (HTMSS).

¹¹ See: GLOX34 Project Document Final, 2010. UNTOC is the United Nations Convention against Transnational Organized Crime. The Firearms Protocol’s full title is: Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition. UNTOC was adopted in 2000 and entered into force in 2003. The Firearms Protocol, one of UNTOC’s three supplementary protocols, entered into force in 2005.

¹² The four pillars were: (1) Policy and normative development; (2) Implementation support and capacity building; (3) International cooperation and support to specialized networks; and (4) Research and analysis. The specific objectives were revised to correspond to each pillar.

“prevent and counter illicit manufacturing of and trafficking in firearms, and their links to transnational organized crime and terrorism” through the ratification and implementation of UNTOC and the Firearms Protocol.

Also, in agreement with donors, a demonstration project related to the fight against urban gang violence in Jamaica, which had been included in the original project document and listed as a specific objective, was cancelled and its funds relocated so as to broaden the scope of the firearms trafficking study, resulting later in the Global Study on Firearms Trafficking.

In 2017, the set of four pillars was replaced by five outcomes, each sub-divided into outputs. The 2018 version kept the 2017 formulation of the overall programme objective and maintained the division into five outcomes, with revisions to some outputs. As a result, the programme as it currently stands is organised around five interconnected outcomes, which may be summarised as follows:

1. Awareness of the firearms issue and establishment of legislative and institutional frameworks;
2. Development of effective firearms control regimes;
3. Development of relevant law enforcement and criminal justice responses;
4. International cooperation;
5. Development of evidence and knowledge base on trafficking.

The majority of the projects addressed each of the above pillars or outcomes. Two projects (ATT/PoA and Global data collection) addressed only the regulation/monitoring/data collection aspects of the programme’s theory of change (see next section). None of the projects strayed away from the above framework. In that sense, all the projects could legitimately be said to belong to the GFP.

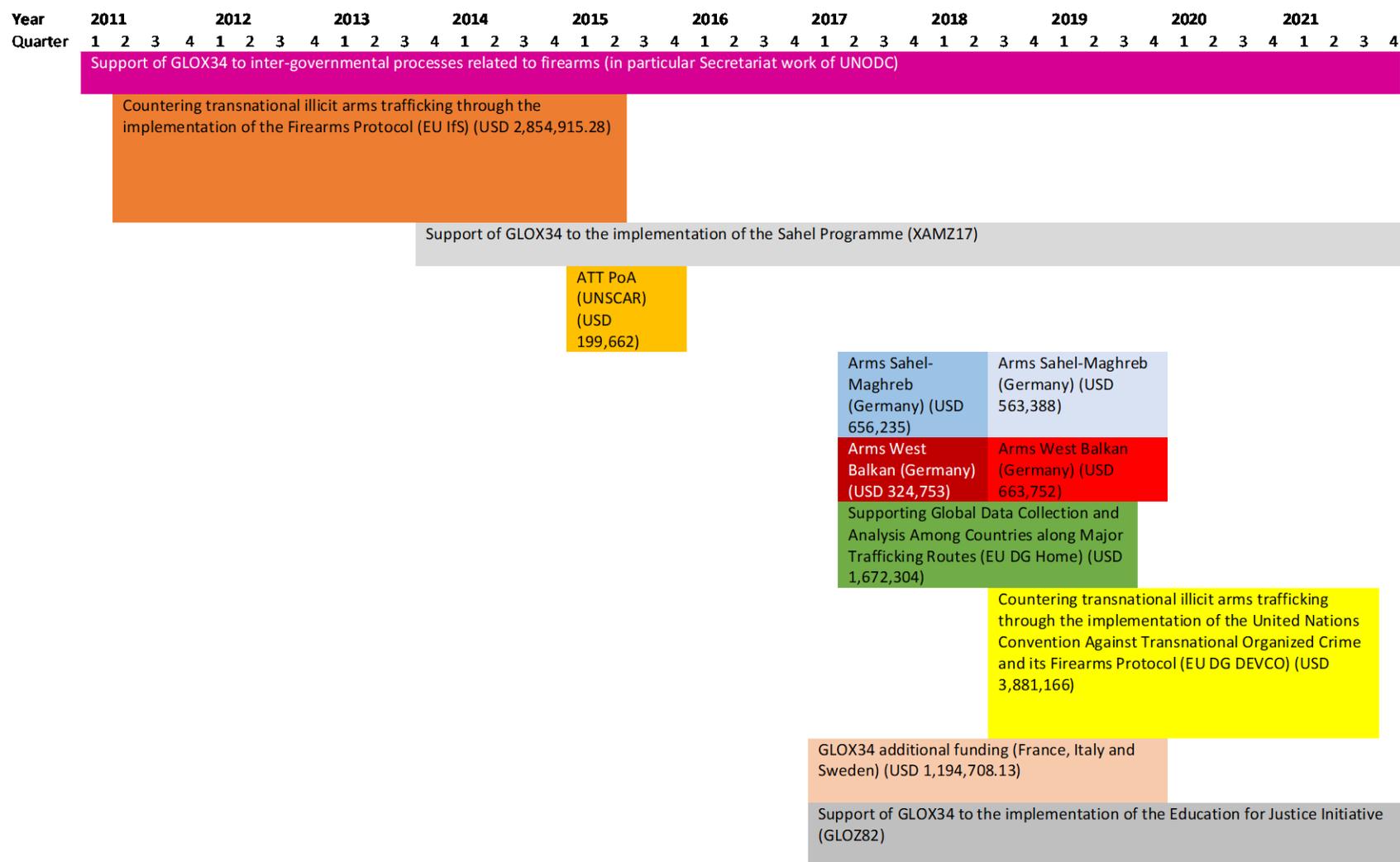


Figure 1: Approximate timeline and budgets of the constituent projects of GFP, 2011-2019. Source: ToR, project documents

Programme theory of change

It is important at the outset to understand the rationale for the programme, which in evaluation terms is commonly referred to as the “theory of change”. While there is no single way of formulating a theory of change, it is common to express it as follows:

Outputs (results of activities) => Outcomes (objectives) => Impact (long-term effect)

Although the GFP did not use a theory of change as a formal programming tool, the project document for the most recent GFP project, which began in 2018, includes a valuable illustration of the GFP approach that clearly illustrates the theory of change underpinning the programme as a whole.

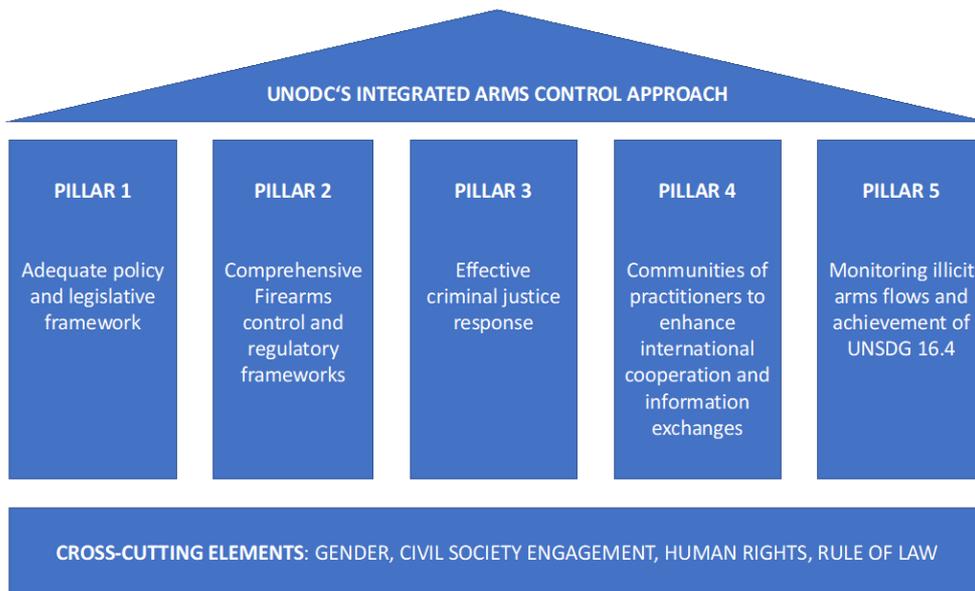


Figure 2: the five pillars of the GFP. Source: *I/S/2018/398-640 Annex 1 – Description of the action*

The “frontispiece” of this “temple” may be seen to represent the overall objective, while the five pillars are the outcomes/objectives of the programme. The base represents key modalities of engagement. Actual programme activities are not usually described in a theory of change but may be outlined in subsidiary ToCs (for example for each pillar) and in a logical framework (logframe) outlining how the outputs and outcomes are to be achieved. The above illustration shows that the programme seeks to reinforce five major aspects of the control of firearms, while taking account of cross-cutting elements including Gender Equality, civil society, Human Rights and the principles of the rule of law.

PURPOSE AND SCOPE

According to the MTE ToR (Annex I), “the main purpose for the evaluation is to assess the methodological concept, the overall implementation and impact of GLOX34”. The evaluation is expected to “allow to consolidate achievements, help Programme management to better draw lessons learned, and enable Programme Management to inform the future development of the implementation of projects”. As with all independent evaluations in UNODC, this MTE also contributes to accountability, with the main intended users of the evaluation being GFP’s management team, programme stakeholders and donors.

Geographically, the MTE focuses on West and Central Africa, Latin America and the Western Balkans. In essence, the MTE addresses three aspects:

- Programme and projects: the activities, outcomes and impact of the GFP, assessed in accordance with the standard evaluation criteria set out in the ToR: relevance, efficiency, effectiveness, impact, sustainability, partnerships and cooperation, as well as mainstreaming of Human Rights and Gender Equality.
- Lessons learned and good practices: assessment at that level attempted to identify patterns of the most effective and innovative project approaches.

Future action: the first two elements of the evaluation provided information to issue recommendations that should be integrated

COMPOSITION OF THE EVALUATION TEAM

This published evaluation report was validated and produced by Chantelle Cullis (independent evaluator) based on data collection, analysis and reporting by Pierre Robert (independent evaluator) and Bruno Langeani (substantive expert in firearms) under the supervision of Independent Evaluation Section (IES) of the United Nations Office on Drugs and Crime (UNODC). IES provides normative tools, guidelines and templates to be used in the evaluation process of project.

EVALUATION METHODOLOGY

The data collection for this MTE took place between November 2019 and March 2020; it followed a mixed-methods, gender-responsive and inclusive evaluation approach in line with UNEG and UNODC evaluation norms and standards as well as requirements. It included contacts with informants that are not direct beneficiaries or targets of the project, but who have been directly involved with the project design and implementation or have relevant expertise. The data analysis included secondary data assessed as part of the desk review as well as primary data collected during the field missions in the form of observations, semi-structured interviews and focus group discussions in Austria, Bosnia and Herzegovina, Burkina Faso, Niger, and Argentina. Triangulation of information ensured an objective and thorough analysis of all collected data, which formed the basis for formulating findings and drawing conclusions. Recommendations and lessons learned as well as best practices were derived from these analyses. These were formulated in such a way that they can realistically be put into practice, as appropriate.

The ToR required the evaluation to assess the Global Programme as well as its constituent individual projects, including in particular the projects funded since 2017 by Germany and the EU. To do so, the report makes specific references to these projects in the main body of the evaluation report. Annexes addressing the performance of individual projects are appended to the report.

Data collection instruments

The evaluation team used the following information gathering tools:

- **Desk review and analysis** – this involves studying all documentation received from the project team; compiling other relevant documentation from public sources such as governments, NGOs, IGOs, academic institutions, etc. (including evaluation reports of other projects).
- **Semi-structured interviews** with a range of stakeholders, including experts, donors and beneficiaries of programme activities – this involves discussing the project, on the basis of the evaluation matrix, and taking account of each stakeholder’s particular area of work, level of knowledge or experience of the project, and other specificities. These interviews followed the guide appended to the Inception Report (Annex II). However, the guide being wide-ranging to cover the range of issues addressed by the evaluation questions, it was not expected that all individual interviewees had information about all aspects of the programme. The evaluators made sure that interviewees were given opportunities to raise issues of their choice, even if they were not covered in the interview guide. Interviewees were given time to address future needs, identify good practices that they would like to see reproduced, and raise any concern they had in relation to the GFP.
- **Focus group discussions** with people who have a shared experience of an aspect of the project –for example, participants in training sessions. As such, the meetings primarily helped assess the activities in which the meetings’ participants were involved. The meetings addressed other aspects, such as the overall needs of participants or their views about the quality of inputs received. As in the case of individual interviews, focus group discussions attempted, to the extent possible, to give time to participants to look into the future and make corresponding recommendations.

The discussions were an opportunity to assess the impact of the project, using a simplified Most Significant Change (MSC) approach, based on participants’ own experience of the project activities and their individual accounts of any change influenced by the project –for example, application in day-to-day work of skills acquired during training. By comparing accounts from different individuals and triangulating these with written sources such as training curricula and project documents, it was possible to identify patterns, such as shifting Member State perspectives and prioritization of firearms trafficking, that constituted elements of impact attributable to the project. This approach was a “simplified” MSC approach because the evaluators were unable to meet twice with focus group meeting participants, which would have been necessary to obtain feedback after analysing the initial set of accounts. Nevertheless, this simplified MSC approach yielded reliable results, where elements identified by meetings participants were confirmed through triangulation with other sources such as trainers, project team members, partner organisation managers, etc.

- **Country case studies and project reviews.** Two country case studies, focused on Argentina and Bosnia and Herzegovina, were prepared illustrating the way projects are implemented in practice, and providing an overview of the GFP’s benefits as experienced by practitioners in the field. In addition, short reviews were prepared, assessing the performance of the projects supported by Germany (Sahel projects) and the EU (DG Home; DEVCO) since 2017/2018. The reviews are appended to the report and are taken into account in the Lessons Learned section of the report.

Triangulation of data

The document review and interviews covered all the evaluation criteria. This helped triangulation in that evidence from one source will be assessed against that obtained from other sources. In view of the multi-country nature of this MTE, triangulation required comparing data from different countries. This presented a challenge, for example as a result of difference in legal systems and UNTOC/Firearms Protocol implementation among target countries. Given the time gap between the data collection and the data analysis phases caused by the pandemic of COVID-19, investigator triangulation was also applied by recruiting an independent evaluator, who conducted an in-depth analysis of the data collected and of the related preliminary analysis and produced the evaluation report.

Key data sources for this evaluation

The evaluators have received detailed information from UNODC. This covers the design of the project, reports about activities, outputs and outcomes achieved, as well as details of the management and reporting systems. In addition, the evaluators sought information about each of the partner countries involved, with a priority focus on countries visited (see below). In addition to meeting stakeholders in each country visited, the team conducted phone/Skype interviews with individuals listed as implementation and strategic partners in the list in Annex III.

Selection of countries for visits

On the basis of their review of project documentation, and following an exchange with the project team, the field component of the mid-term evaluation has been organised so as to include the following components:

- **Visit to UNODC Headquarters in Vienna.** This was an opportunity to meet the programme team and other relevant Headquarters staff, including IES.
- **Country visits.** The ToR provided for visits to Bolivia, Bosnia and Herzegovina, and Niger. This country selection was justified in that the GFP is global, with focus on West and Central Africa, Latin America and the Western Balkans region. The evaluators reviewed programme and project documents, which showed that these countries are representative of the efforts deployed since 2011. Their proposal to also visit Burkina Faso, where recent activities have taken place, was accepted. Since a visit to Bolivia proved to be impossible because of the security and political situation in the country, the evaluators visited Argentina instead, where project activities had taken place and where the GFP Regional Officer is based.

The selection of the interviewees was based on a purposive sampling methodology and focused on the key stakeholders in a wide range of countries. The interviewees were among those listed in Annex III who are based in the countries to be visited, as well as those listed as strategic/implementation partners.

The evaluators ensured that they addressed a diverse set of respondents. This was the case in terms of languages spoken by the respondents, as the evaluators can communicate in English, French and Spanish. For the field visit to Bosnia and Herzegovina, an interpreter was made available by the GFP. The evaluators also ensured that the gender balance among informants reflects that of stakeholders more generally, not just in terms of raw numbers but also in terms of gender balance at different hierarchical levels in partner institutions.

LIMITATIONS TO THE EVALUATION

One key constraint affecting this mid-term evaluation was the sheer geographic extent of the programme, the wide range of different country contexts and the long-lasting duration of the programme, which resulted in important changes during time. It was impossible to visit more than a handful of the countries covered. In each country, the number of stakeholders that could be met was limited by the time available. To mitigate the relative constraint of limited country visits, the evaluators interviewed by phone or Skype stakeholders from other countries covered by the GFP, either during the field visits or in other moment of the data-collection period. They thereby ensured that they interviewed a sufficient number of different stakeholders to be able to triangulate opinions expressed.

Another limitation stemmed from the decision taken by the evaluators not to conduct a survey of stakeholders. This decision was taken because of the relative difficulty in contacting people who may have been involved in programme activities several years ago. Concerns about likely response rates and recall bias were further motives underlying this decision.

During the data collection, bad weather delayed the evaluation team's arrival in Sarajevo, shortening the duration of the field visit to Bosnia and Herzegovina from 2.5 to 1.5 days. This circumstance was mitigated by rescheduling interviews, some of which had to be carried out by Skype. One interview with one relevant stakeholder could not be rescheduled. In the field visit to Burkina Faso, the team visited a stockpiling facility. No marked weapons could be observed by the evaluation team, and the evaluators were not given opportunities to see the results of the acquisition of marking machines, some of which (in Niger) were still unused at the time of their visit.

Another constraint to the evaluation was the limited data available to assess the effectiveness and impact of projects, given the frequent lack of SMART indicators (Specific, Measurable, Achievable, Relevant and Time-bound); the insufficient precision of targets, and the limited availability of baseline data. To address this limitation, the evaluation team revised the intervention logic of the programme and assessed progress towards the achievement of GFP objectives based on the information available in progress reports and feedback gathered from the GFP team and key stakeholders through interviews.

Assessing the impact of GFP was challenging as well, as the programme is ongoing and a long-term overall objective as well as long-term goals stated for each of its five pillars. As explained above (see description of the data collection), this challenge was mitigated by the evaluators through interviews and focus group discussions, by using a simplified Most Significant Change (MSC) approach, based on participants' own experience of the project activities and their individual accounts of any change influenced by the project.

Finally, the COVID-19 pandemic affected the final stages of data collection, in that some stakeholders were less available, institutions faced unexpected emergencies and institutions were focused on responding to the emergency. In order to ensure that recommendations be relevant and actionable, relevant stakeholders were re-contacted to collect additional data on UNODC's response to COVID-19.

The COVID-19 pandemic also delayed significantly the analysis stage of the evaluation. In this regard, it should be noted that the feedback provided by stakeholders to the evaluators during the field phase was limited in terms the mainstreaming of Human Rights, Gender Equality and vulnerable groups aspects in the GFP work. Given the time gap between data collection and analysis, this limitation could only be mitigated through selective interviews to the GFP team and further review of desk review materials.

II. EVALUATION FINDINGS

DESIGN

EVALUATION QUESTIONS:

- To what extent were the project funds sufficient to deliver activities and outputs and achieve the established programme objectives?
- To what extent is the overall approach of the Programme apt to respond to the phenomenon of illicit manufacturing of and trafficking in firearms, their parts and components and ammunition? To what extent are GLOX34 activities and products delivered coherent with its outlined goals and objectives?
- How much flexibility does the Programme design have in order to take into account national and regional characteristics and priorities?
- To what extent does the Programme take synergies with other forms of crime into account? What areas of crime, if any, should the Programme further address in relation to firearms?

Overview

The overall design of the GFP, and of its constituent projects, is sound and well thought out. The intervention logic of the programme is appropriate in that it takes a holistic approach to the fight against illicit trafficking in firearms which addresses each key element of the fight against illicit trafficking in firearms (see section above on background and context of the programme). The programme is delivering results in all areas that are highlighted in the intervention logic.

Each project within the GFP follows all or part of a common intervention logic, which is based on the achievement of the set of outcomes (“sub-objectives” in the terminology used in the early years) listed above. It is important to note that the projects are all based on a similar underlying analytical framework of the general causes of firearms trafficking and of its connection to organized crime and terrorism, which is linked to the specialised mandate of UNODC in crime prevention and criminal justice. The overall programme document provides a problem analysis, including sections dedicated to the analysis of the different regional contexts and priority issues, and a description of the strategic approach and its intervention logic. Individual project documents are expected to further develop region- or issue-specific analyses that refine this general framework in view of current data and of the particular concerns that are to be addressed – noting the development of organized crime and trafficking in persons in the Western Balkans for example, while terrorism is a more prominent concern in West Africa and organized crime and gang and urban criminality are more connected to the Latin America and Caribbean reality.

Based on the underlying problem analysis, the GFP aimed outcomes (or sub-objectives) are sound and appear to constitute an appropriate response likely to contribute to the achievement of the programme’s objective. Similarly, the proposed results, listed in detail under each outcome, are consistent with the underlying analysis. Although the expected programme impacts are left somewhat implicit, these are easily deduced from the narrative problem analysis and the logical frameworks of the individual projects.

Despite the expansion of the GFP in recent years to more regions –Sahel and West Balkans in particular– for which donor resources are more readily available than for other regions, GFP’s funding is clearly not in line with the magnitude of the challenge it seeks to address. For example, the lack of donor funding hampered after 2015 the momentum that had been achieved in earlier years in Latin America, despite the fact that this region accounts for one third of all homicides worldwide and for major trafficking flows, and

the programme's awareness of the scale of trafficking and of the need to support a range of governments.¹³ GFP's funding shortage was mitigated in 2017 with the DG Home project on data and the new transregional project funded from DEVCO starting 2018.

Design of individual GFP projects

The design of the initial EU-funded **IJS project** (2011-2015) was based on a detailed situation analysis and justification for the approach and intervention logic. The project proposal outlined partnerships with IGOs and international NGOs, and identified three clusters of activities, plus the Jamaica demonstration project – which was eventually discontinued and its funds relocated to broaden the scope of the firearms trafficking study (see Introduction above).

The EU-funded **DG Home** project (2017-2019) was designed in line with the overall GFP approach, in that it addressed firearms data collection and analysis, which is one of the key pillars of the programme. The design drew on the experience of the 2015 Study on Firearms, which was the first UNODC worldwide study on firearms trafficking and related issues. In line with the conclusion of that original study, the project was designed to fill substantial gaps in knowledge, which the 2015 study had noted. The design of the project was in line with the financial and human resources available. The project made appropriate use of UNODC's in-house research and data management expertise. The project design was also in line with the overall GLOX34 logframe, where it addressed Outcome 5 and the three related outputs. Importantly, the project also contributed to the monitoring of the achievement of SDG16.4.

The design of the Germany-funded **Sahel projects** (2017-2019) was also in line with the overall GFP approach, as well as with earlier efforts by the EU in the region and UNODC's Sahel programme (XAMZ17). The aimed outcomes of the projects were aligned with the five-pillar structure of the GFP –with a focus in 2018-2019 on Pillars 1 and 2. Project proposals demonstrate GFP's awareness of regional trends that have an impact on firearms trafficking, such as the situation in Libya and the rise of armed groups across the Sahel. The proposals also referred to action taken by other institutions such as the AU and other UN agencies.

The Germany-funded **Western Balkans** project (2017-2019) was also designed in alignment with the overall GFP approach. The design of this project evolved towards a more specific focus on addressing detailed concerns related to cross-border controls, which are central to the fight against firearms trafficking in the sub-region.¹⁴

The design of the **DEVCO project** (2018-21) is in line with the overall GFP approach. The activities related to each output, which are detailed in the project proposal, are consistent with the five pillar -based intervention logic of the overall programme. . Although expected results are identified both at the output and at the outcome levels, the project design could benefit of revising the formulation of logframe indicators to ensure that they are all SMART (Specific, Measurable, Achievable, Relevant and Time-bound), in line with UNODC's results-based management handbook¹⁵.

¹³ The GFP maintained a degree of engagement with Latin American countries through their involvement and participation in the intergovernmental process, in particular the COP-UNTOC and its Working Group on Firearms, established in 2012. The GFP was able to resume technical assistance activities in Latin America in 2017 through the DG Home-funded project on monitoring illicit arms flows. Other countries and regions (Central Asia, Caribbean, Sub-Saharan Africa) were also the focus of new fundraising efforts, leading to projects starting in 2020 and 2021.

¹⁴ The GFP team notes that "the Western Balkan projects ended in 2019 and was replaced, in 2020, by a larger regional project for the entire Western Balkan region (WB) and a national project for Bosnia and Herzegovina, jointly developed with UNDP, both funded under the Multi-Partner Trust Fund for the Western Balkans, established by UNDP and UNODC." This new project falls outside the scope of the present evaluation.

¹⁵ UNODC (2018): Handbook: Results-based Management and the 2030 Agenda for Sustainable Development.

Specific assessments of the design of the DEVCO, DG Home and Sahel projects are provided in the respective project annexes to this report.

Flexibility and synergies

The GFP, thanks to its holistic nature – that is, the fact that it addresses illicit firearms trafficking from a range of angles and through diverse entry points – has in-built flexibility, in the sense that it is able to work with many different stakeholders. This was made clear for example in the Western Balkans and Sahel regional projects, which adapted to the institutional capacity and buy-in of the various stakeholders to devise work plans appropriate to each situation. A similar capacity to identify and use relevant entry points was noted in South America, where the GFP worked with national police, state-level officials, academics and CSOs. Although individual projects are not systematically based on formal needs assessments and it is not always clear that a country-by-country analysis preceded each regional project proposal, reviewing elements were visible, such as the capacity of national partners to make use of technical assistance and the political will to undertake reforms based on technical advice.

There is a clear awareness among GFP staff and managers about the interconnections between illicit firearms trafficking and other forms of criminality. Indeed, the programme objective explicitly mentions transnational organized crime and terrorism, which are forms of criminality that are directly connected to trafficking. Research conducted with GFP support, as well as by other entities, has also provided evidence of linkages between firearms trafficking and crimes such as drugs smuggling and trafficking in persons. In programming terms, this awareness of linkages is expressed through collaboration with projects and programmes implemented by other UNODC teams, or by other agencies. These include, for example, collaborations with programmes on terrorism, criminal justice and money laundering. The main constraint on such collaboration is related to funding: while some joint activities between GFP and counterpart programmes are indeed funded, it is uncommon for staff costs to be supported through joint programmes.¹⁶

¹⁶ Some GFP staff positions have been part-funded by other programmes – for example Education for Justice and the Sahel Programme. However, this is not systematic and there is currently no joint staff funding in relation to cyber-criminality, human trafficking or terrorism. The GFP team noted that joint funding of staff positions is “very difficult to implement properly in practice, as each position comes with specific activities” and may lead to workload issues as a result of claim on staff members’ time by two different teams.

SUMMARY – DESIGN

The overall design of the programme is sound and well thought out and reflects a holistic approach to countering illicit trafficking and criminal use of firearms. This approach has allowed the GFP to flexibly address illicit firearms trafficking from a range of angles and through diverse entry points. This was the case of the Western Balkans and Sahel regional projects, which adapted to the institutional capacity and buy-in of the various stakeholders to devise work plans appropriate to each situation.

Despite the expansion of the programme in recent years, GFP's funding is not commensurate with the magnitude of the challenge it seeks to address.

The results-orientation of GFP project proposals and progress reports should be improved, in line with UNODC's results-based management handbook

There is a clear awareness among GFP staff and managers about the interconnections between illicit firearms trafficking and other forms of criminality. In programming terms, this awareness of linkages is expressed through collaboration with projects and programmes implemented by other UNODC teams, or by other agencies –including collaborations with programmes on terrorism, criminal justice and money laundering. The main constraint on such joint collaborations is related to funding –for instance, difficulties for sharing staff costs.

RELEVANCE**EVALUATION QUESTIONS:**

- To what extent is the Programme relevant to the needs of target countries/ regions and to international efforts in preventing and combatting the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition?
- To what extent does the Programme take new and emerging threats related to illicit manufacturing and trafficking in firearms into account and contribute to addressing these issues?
- To what extent are the outputs, outcomes and objectives of the Programme relevant to implementing the Sustainable Development Goals?
- To what extent does the Programme convey information to stakeholders, the wider public and donors about the situation in target countries and main regional and trans-regional trends regarding the illicit trafficking in firearms, their parts and components and ammunition?

Overview

The projects, and the GFP as a whole, are in line with UNODC's successive strategic frameworks since 2012. Like its 2008-2011 predecessor, the 2012-2013 strategic programme reorganizing UNODC's work places the fight against illicit firearms manufacturing and trafficking squarely within the programme of action against transnational organized crime. This approach is carried over in each biennial iteration of the strategic framework, up to and including the 2018-2019 version. In UNODC's Annual Programme Implementation Plan for 2020, work on firearms is essentially split between sub-programmes 1 (Countering transnational organized crime) and 6 (Research, trend analysis and forensics). As the objective of the GFP is to counter the illicit manufacturing of and trafficking in firearms and address their links to organized crime and terrorism, by supporting the ratification and implementation of the UNTOC and the Firearms Protocol, the GFP is relevant to UNODC's role as custodian of these instruments.

The GFP is also relevant to the achievement of SDG Goal 16 (“Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels”), with additional links with Goal 5 (“Achieve Gender Equality and empower all women and girls”) –i.e. targets 5.1 and 5.5. The GFP is particularly relevant in relation with the pursuit of SDG Target 16.4, which aims at significantly reducing by 2030 illicit financial and arms flows, strengthening recovery and return of stolen assets, and combating all forms of organized crime. The need to address illicit firearms trafficking, or related concerns, is mentioned in the UN Development Assistance Framework (UNDAF) document of some of the GFP target countries (such as Niger) but not in all the national plans consulted by the evaluators. This reflects different levels of priority of firearms-related issues in the development of the UNDAF among countries.

The GFP is relevant to the needs of target countries, as it is the only global programme that tackles the issue of illicit manufacturing of and trafficking in firearms by addressing it in the context of transnational organized crime, and terrorism. Tragic events across recent years, volatile security situations and high levels of firearms-related violence in GFP participatory countries has refocused international attention on the proliferation of arms, and the connection of the illicit firearms market to transnational organized crime, and terrorism. The GFP has assisted Member States to address this universal challenge since its inception in 2011 as a single global project targeting 15 countries. The GFP now encompasses 8 projects and aims at further expansion into Central Asia, MENA, the Caribbean and SE Asia. This expansion is driven not just by program goals, but also on requests for assistance by potential beneficiary countries, as international attention continues to grow.

Interviews confirmed that the priorities and initiatives of the GFP were considered highly relevant to Member States, with strong reference made to the development/enhancement of general capacities through provisions of equipment and related training, tailored training specific to the roles and responsibilities of law enforcement and criminal justice, and analysis of national legislation, furthered by UNODC assistance with recommendations and guidance for future legislative change and reform. Regional meetings and seminars encouraging cooperation and partnerships, information exchange and sharing of best practices between regional counterparts, the ongoing development of standardized data collection techniques, electronic databases and software, and UNODC assistance with internal reporting approaches, were also identified by Member States as essential to addressing their existing needs and emerging priorities.

The programme’s relevance is enhanced by sustained consultations with stakeholders, which help ensure that individual activities address needs identified on the basis of feedback from the field. These consultations are effective mainly because GFP team members in charge of regions and sub-regions enjoy a high level of credibility with national stakeholders – thanks to their professionalism, law enforcement expertise and their long-standing record of work in the field of firearms – and are able to shape activities in response to field requirements, especially with regard to capacity building of law enforcement and customs/border agencies.

Relevance at project level

The MTE considered the extent to which sub-regional and thematic projects responded to needs and brought appropriate solutions. The conclusions were somewhat mixed, in that some projects were tightly tailored to specific issues and priorities, and therefore addressed clear needs appropriately, while others were of a more general nature or insufficiently connected to the overall programme, which hampered their relevance. The **IFS** and **DEVCO** projects, which effectively constituted – still do so – the backbone of the GFP, were relevant in that they ensured that the GFP’s intervention logic could be applied – with the limitations outlined above, mainly on human resources – through a sustained period of time (see also annexes to this report discussing individual projects).

The **DEVCO project** is relevant to the needs of target countries in that the objectives and activities of the project have been developed on the basis of a sound analysis of the international agreements on firearms

and of the challenges faced around the world in relation to control of firearms trafficking and criminal use. As is the case of the programme as a whole, the relevance of the project is enhanced by sustained consultations with stakeholders at the national level.

Two projects in which the GFP team participated, but that were not managed by GFP, were particularly relevant in that they helped address identified needs. These projects were **GLOZ82 on implementation of the 2015 Doha Declaration** – particularly its “Education for Justice” (E4J) component – and **XAMZ17 on strengthening criminal justice systems in the Sahel sub-region**.¹⁷ Another project (**UNSCAR 2015**), fully implemented by the GFP team, was relevant, according to the GFP team, in that it was “intrinsically linked to the normative work of the GFP, in which synergies among the Firearms Protocol and other international instruments on firearms are promoted and exploited. As such, it contributed to a foundation of the normative work of the GFP.

The **Sahel sub-regional** (separate from XAMZ17) and **Western Balkans** projects were relevant in that they contributed to the overall strategy of the GFP, providing support to identified GFP pillars. As a post-war country, there remains a surplus of illegal firearms in Bosnia-Herzegovina, securing its position as a source country for traffickers. Along with the other Balkan states the country is also geographically vulnerable as a transit country, primarily towards the European Union. Member States commented that the UNODC has been able to carve out a niche role, specifically in the area of marking and tracing, an area that had not yet been addressed by numerous other international actors engaged in the country. Across the Sahel, the volatile security situation and increased threat of terrorism has focussed attention on of the threat of firearms trafficking, with MS countries now noting their roles as both source and transit destinations for trafficking. The GFP remains relevant across this region, sitting in a strong position to engage at both a strategic and operational level, building on the continued momentum of this shift in Member State perspectives and priorities. The projects’ relevance to the target sub-regions lay mainly in their capacity building dimension, implemented through training sessions and sub-regional and other seminars and workshops. Participants in training sessions in both regions, interviewed during country visits, were particularly positive about the relevance of practical training exercises held with border police and customs personnel, including (in the Sahel) participants from three neighbouring countries (see annex). The legal and regulatory dimension of the projects (technical advice on legislation and seminars with prosecutors, judges and law enforcement personnel) were also relevant in that they helped raise awareness of the legal issues surrounding the fight against firearms trafficking, but also integrate and build trust among relevant actors within the country and regionally. In both sub-regions, the projects worked closely with relevant officials. However, they could gain additional relevance by increasing the involvement of specialist civil society organisations, some of which have research and policy advice capacity at national level, which could appropriately complement UNODC projects.

The **data collection project (DG Home)** was relevant in that it contributed to the overall strategy of the GFP, providing support to the key objective of enhancing knowledge and analysis about illicit firearms trafficking flows. The relevance of the project was enhanced by its sound methodological approach, based on lessons learned from previous data collection undertaken by the GFP team. The project’s relevance to Member States was further enhanced by its capacity building dimension (through the technical advice component) and the fact that it was able to feed research outcomes and analysis back to the national level, through the network of focal points. It is also important to note that this data collection project was unique and that UNODC was the best placed international organisation that is in a position to compile this information, as it is the custodian of UNTOC.

Another additional indicator of the relevance of the Programme is the fact that UNODC (represented by GFP and Trend Analysis Branch) was designated co-custodian (along with UNODA) for the indicator 16.4.2 of the

¹⁷ The firearms component of XAMZ17 was developed and implemented by the GFP team, in accordance with the GFP intervention logic described in the Introduction.

Sustainable Development Goals. Building on GFP's interaction and cooperation experience with CSOs, the projects could gain further relevance, *inter alia*, by further involving specialist CSOs, and, where appropriate, by establishing mechanisms for more systematic cooperation with CSOs –i.e. in countries where specialist CSOs (such as Small Arms Survey and similar counterparts) conduct research and analysis on illicit trafficking, and could contribute at least to the research/analysis part of the GFP.

The GFP team as a whole demonstrates an excellent understanding of the challenges posed by the fight against trafficking in illicit firearms and countering their criminal use – this understanding is clearly based on senior team members' extensive field experience and by their ongoing interactions with practitioners. However, the GFP's relevance is hampered by factors including the following:

- Lack of human resources. With four field positions in 2011-2015, GFP team members deployed in the field were not in a position to respond to emerging needs in a timely manner, due to their sheer workload. These concerns are shared by the GFP team, which aims at significantly increasing the field presence of its team, with several positions scheduled to be filled in 2020 and 2021¹⁸.
- Insufficient coordination between UNODC programmes. The GFP collaborates with other programmes (Education for Justice E4J, Container Control Programme, etc.) but these collaborations are not systematic (except where joint funding takes place, as in E4J).

Feedback from Member States identified gaps in capacities related to criminal justice responses and reform, including the need for enhanced investigative techniques, evidence collection, and increased awareness and knowledge of prosecutors and the judiciary in respect to firearms trafficking. The linkage of these processes creates the mechanisms that shift the interception of an illegal firearm beyond the static nature of a seizure, to a fluid criminal process that follows the same legal continuum of other recognized forms of crime. While these gaps have been identified by the GFP, strengthened focus in these areas would serve to enhance the overall relevance of ongoing projects. Other areas of interest noted were AML, cyber-crime, arms trading through the "Dark Net", the nexus between other forms of contraband trafficking, human trafficking and arms-smuggling, and the availability of new technologies such as 3-D printing and artificial intelligence. While the GFP seeks to integrate new developments in the area of firearms trafficking and its links to other forms of crime in its strategy at political and programmatic levels, it needs to seek more resources to build on these efforts.¹⁹

Interviews also made clear that the GFP as a whole, and therefore individual constituent projects, should be regularly reviewed to ensure that its geographic and thematic priorities are consistent not only with donor priorities, but also with the field realities of firearms trafficking, and if possible with the broader UNODC strategy in discharging its mandate (see section on efficiency below).

¹⁸ Throughout the duration of this MTE, the number of field staff of the GFP has increased to eleven.

¹⁹ After closing the data collection for this evaluation, the GFP provided the evaluation team with following examples of integration of emerging issues in its work: joint implementation with the UN Office on Counter-Terrorism of a project to address the arms-crime-terror nexus in Central Asian countries; findings of an international conference convened by the GFP together with Wilton Park on this topic were reflected in the GFP strategy; GFP also drafted a chapter to a study by RAND Europe entitled "Behind the curtain: The illicit trade of firearms, explosives and ammunition on the dark web" on the international legal instruments on firearms and their applicability to illicit firearms trafficking on the dark web, among others.

SUMMARY – RELEVANCE

The GFP is relevant to UNODC’s strategy, the SDGs (i.e. in relation with Target 16.4) and the needs of target countries. The programme, and its constituent projects, have been developed on the basis of a sound analysis of the international agreements on firearms and of the challenges faced around the world in relation to control of firearms trafficking and criminal use, engaging with MS across all five pillars of the programme in clearly relevant initiatives and activities

The programme could add to its relevance by continuing to address gaps in capacities –i.e. those related to criminal justice responses and reform, including the need for enhanced investigative techniques, evidence collection, and increased awareness and knowledge of prosecutors and the judiciary in respect to firearms trafficking. The GFP team should seek funding opportunities to support further efforts in these areas and consider the possibility to address new developments such as arms trading through the “Dark Net” and the nexus of firearms with AML and other types of trafficking (contraband trafficking, human trafficking and arms-smuggling).

EFFICIENCY

EVALUATION QUESTIONS:

- What measures have been taken during the planning and implementation of Programme activities to ensure that resources (funds, expertise, staff time, etc) are effectively used? To what extent did these measures contribute to improved timeliness and efficiency in the delivery of Programme outputs?
- How well were the rules of project implementation established? How well was the implementation of activities and output delivery managed?

Overview

The project’s efficiency may be assessed from two different angles:

- In terms of value for money: whether activities, outputs and eventual outcomes are consistent with the financial and human resources available to the project;
- In terms of project management: whether mechanisms and procedures are in place and in use to ensure timely implementation, quick reaction to changing circumstances, internal accountability within UNODC and external accountability to the donor and other stakeholders.

The documentation received so far includes a broad overview of expenditure to date. The total approved budget for the period March 2011 to March 2020 is US\$ 10.25m, the total overall budget for the period March 2011 to December 2021 being a little over US\$ 12.15m, excluding new funding received in 2020 and funding that may be agreed in 2021 (such new funding would cover new activities or projects). As of June 2020, according to figures provided by the GFP, the programme had spent by then US\$ 7.5m. The overall rate of expenditure for the period to June 2020 therefore stands at 73.2%. The disbursement history suggests that 84% of allocated budgets had been spent in the so-called “pre-UMOJA” period (i.e. the period before the 2017 introduction of the UMOJA accounting procedure common to all UN Secretariat services). By contrast, rates of expenditure for the UMOJA period (2017 and subsequent years) varies, according to line items, from 28% to 101% - these values should be understood to be provisional because projects will apparently low spending rates to date are ongoing and because spending is not necessarily linear during a project period – for example an international conference scheduled towards the end of a project increase the spending rate.

The desk review – including reports on the implementation of individual projects – and interviews with the GFP team indicate that the underspending mostly stems from two causes, which are common to all the GFP projects:

- Staff recruitment procedures. UNODC rules require that staff recruitment be initiated only after project grants are signed. Because signature often marks the start of a project, this leads to delays in the start of project activities – and therefore a degree of underspending outside the control of the GFP team – whenever new staff must be recruited.
- Logistics and organisation. Many project activities require, if not the active support of national stakeholders, at least a formal green light from senior national officials, which may only be obtained after a long delay even if an “in principle” agreement was secured at project design stage. This means that some planned and budgeted activities may be cancelled, delayed or replaced by cheaper alternatives, thus causing an apparent underspending even when the project is otherwise executed according to plan.

In practice, these factors mean that fewer activities are implemented under individual projects than originally planned, a pattern that is commonly found across projects when comparing initial plans with actual delivery.²⁰ This is the case for example of the EU-funded GFP for 2018-21, where the rate of expenditure was 13% as of October 2019, and rose to 28% by June 2020 (the COVID-19 pandemic having also, obviously, caused a substantial reduction in planned activities)²¹. On the other hand the projects funded by Germany, which ended between 2017 and 2019, had rates of expenditure ranging from 57% to 86%, the projects for which the rate of expenditure was highest being those for which there was no need to recruit new staff because the recruitments had happened in earlier project periods.

Feedback from interviews suggests that resource constraints may have hindered the programme’s efficiency by hampering the implementation of some activities, while making it difficult to relocate funds from unspent activities towards underfunded efforts. The GFP team has mitigated this factor through an active management of resources available. One salient example is the relocation of funds from a cancelled pilot activity in Jamaica to the GFP’s study on firearms. This enabled to broaden the scope of the study so as to make it global.

Global GFP project documents indicate that there has been an increase in the human resources available to the programme management team since 2019 – alongside an increase in activities. The 2016 mid-term evaluation of the initial GFP carried out by the EU, sole donor at the time, noted that the programme management team was facing severe staffing constraints (though, to the credit of the GFP, it managed to deliver most planned outputs). In view of this earlier lack of human resources, the expansion of the team seems reasonable. The efficiency of the use of human resources (and work prioritization) was assessed during the evaluation.

In particular, the evaluators sought to assess the extent to which staffing decisions helped the delivery of programme outputs. The MTE ToR mention that staff turnover delayed activities: it was therefore relevant to assess the extent to which such problems could be anticipated and mitigated, while bearing in mind the constraints posed by both donor funds disbursement procedures and UNODC’s own recruitment processes. Beyond these basic efficiency issues, the MTE considered two issues with general bearing on the GFP:

²⁰ There are other factors, which have a lesser influence on delivery but nevertheless play a role. Many project implementers report, for example, that the UMOJA system, which wasn’t originally designed for field activities, lacks flexibility to adapt to rapidly changing circumstances such as last-minute changes in beneficiaries or locations of seminars and workshops. Another factor is that national stakeholders also tend to wait till UNODC starts a project to incorporate UNODC-supported activities into their own workplans.

²¹ The GFP has requested a no cost extension for this project until September 2022.

- The team staffing and structure: they considered the extent to which the GFP team, as currently staffed and organised, is conducive to implementing the programme as a whole and to delivering the expected objective and pillar-level outcomes.
- Fundraising: the MTE considered the extent to which the fundraising strategy and process were appropriate and conducive to the efficiency and effectiveness of the programme. This is all the more important since at present no team positions are funded on a project basis.

The key conclusions of the assessment of the above two points are the following:

- The impressive overall performance of the GFP programme owes a lot to the professionalism, expertise and commitment of the Head of Programme and of programme staff. Collectively, the team has decades of experience in the fields covered by the programme, and many of its senior members are recognized experts held in high regard by practitioners across the world, as numerous interviews made clear.
- The Head of Programme and the senior team members are dealing effectively with stakeholders in Member States, demonstrating both a capacity to provide support and valuable advice, and to display the independence and impartiality expected of UN staff. Their commitment to the programme is demonstrated by their willingness and ability to deal with a heavy workload and multiple, sometimes conflicting, priorities. The HQ-based staff was able to rely on just two field-based programme officers, who are also held in high regard by their regional interlocutors and are among the longest-serving GFP team members. Field-based staffing has since been expanded.

The GFP mitigated the challenges associated to having limited presence in the field by ensuring that the core skillsets of the GFP team based in HQ are made available to all regions upon need. This was made by assigning to each GFP staff both a thematic and a geographic competence, which often entails covering more than one sub-region.

With regard to fundraising, the GFP has had obvious success, as demonstrated by the range of projects implemented in the last decade and by the good reputation and credibility the programme team has acquired with donors. Despite the fact that the work for the Protocol remains unfunded, the GFP was able to raise money to continue to expand the programme. Project proposals have met donor strategic and organisational requirements; donors have also expressed praise for the quality and timeliness of narrative and financial progress reports. These elements place the team in a good position to maintain the momentum achieved by the programme to date, and to obtain further project funding.

Efficiency at project level

There were no notable differences between individual projects in relation to efficiency. Some projects were more substantially underspent than others, for reasons indicated above, largely outside the control of the GFP team. Project progress reports explain some of the underspending, mentioning for example that some activities were cancelled due to changing national contexts or to implementation delays that caused activities to be cancelled. These explanations, however, do not fully account for the substantial underspending of some projects, noted above. A further explanation is related to UNODC's budget building procedure. According to interviewees, these require for example that projected salary costs should include expenses such as family resettlement costs, which may eventually not be needed if they do not apply to the staff recruited on a project. This process may cause the rate of expenditure to go down irrespective of activities implemented.²²

²² To mitigate this concern, it might be advisable in future for UNODC to report separately on the rate of project expenditure on staff and activities costs.

It was however generally the case, also as noted above, that the projects' efficiency owed much to the dedication and commitment of GFP team members, who steered activities to completion in sometimes adverse conditions resulting from domestic policy issues in target countries and conflicting priorities causing additional workload.

To the evaluators' knowledge, despite delays in some activities, project funds were used as originally intended and there were no cost overruns. Apart from staff costs, the main areas of spending were related to logistics: workshops and technical assistance missions. The project generally involved no (or limited) capital expenditure, for example for equipment such as marking machines, weapons storage, computers, etc.

Project management is satisfactory in the sense that the GFP implements activities in a relatively timely manner. However, there were substantial delays in some project activities (Sahel, data collection), caused mainly by staff shortages. Workload hampered the timely delivery of these, partly because of the pressure of other work, GFP staff having to deal with a heavy workload.

SUMMARY – EFFICIENCY

The GFP programmes and projects benefit from the team members' in-depth expertise and extensive experience of dealing with trafficking and criminal use of firearms.

Project funds were used as originally intended and there were no cost overruns. Resource constraints and underspending were mitigated through an active management of resources available by the GFP team. The GFP is well-placed to secure future funding, driven by the clear programme successes of projects implemented across the last decade, and by the good reputation and credibility the programme team has acquired with donors.

Recruitment of several field-based staff across 2020 has expanded GFP's capacities to act at national/sub-regional level, while improving the geographic balance between GFP staff based in Vienna-HQ and in the field.

EFFECTIVENESS

EVALUATION QUESTIONS:

- To what extent has the Programme as a whole and individual projects achieved, or are likely to achieve, its objective and expected results? Which were the respective hindering and facilitating factors?
- To what extent has the involvement of partner organisations and institutes increased the effectiveness of the Programme?

Overview

The GFP is achieving a wide range of project activities. There are clear signs that, through such activities, progress towards the achievement of a number of outputs and outcomes (sub-objectives or pillars) is being made. However, the assessment of effectiveness at outcome level of the overall programme – and that of some of the individual projects – is hampered by design weaknesses such as vague indicators and unclear baselines and targets.

As mentioned above, not all the projects in the GFP addressed all the outcomes of the GFP logframe, either because of specific donor priorities or because other actors addressed some elements. Nevertheless,

interviews and reports indicate that a wealth of outputs have been produced under each of the planned programme and project outcomes:

- Outcome 1 (Awareness of the firearms issue and establishment of legislative and institutional frameworks) has been addressed, *inter alia*, through seminars and workshops; support to legislative harmonization at regional level; country assessment missions followed by technical assistance or training sessions.
- Outcome 2 (Development of effective firearms control regimes) involved the provision of technical advice and equipment such as firearms marking machines; support to firearms collection, storage and disposal projects; as well as technical and legal advice.
- Outcome 3 (Development of relevant law enforcement and criminal justice responses) involved in particular the development of training curricula and the delivery of courses for law enforcement officials, prosecutors and other key targets, as well as engagement with parliamentarians and CSOs on matters such as awareness raising on firearms control and monitoring of control regimes.
- Outcome 4 (International cooperation) was addressed through national- and regional-level meetings and seminars and exchanges of illustrative good practices that also aimed at connecting and building confidence among focal points.
- Outcome 5 (Development of evidence and knowledge base on trafficking) mainly focused on the development and roll out of data collection methodologies, disseminated on the occasion of regional workshops, and the analysis of the collected data.

Regarding the ratification and implementation of UNTOC and the Firearms Protocol (FP)²³, the objective of GFP was met in part:

- Ratification or accession to UNTOC is nearly universal: according to UNODC's database, most countries signed UNTOC in 2000 and to date 190 countries have ratified the UNOTC or otherwise accessed to it. The most recent ratification/accession was Palau's in 2019, and most of the 189 other countries had ratified/accessed in or before 2014.
- In 2011 there were only 83 state parties to the FP, and that number has increased to 119 in 2020, an important accomplishment to which the GFP has contributed. This has been the case of Bolivia, where interviews showed that the efforts and assistance provided by GFP appear to have been a key factor contributing to ratification of the Protocol²⁴.

Several Member States received tailored support from the GFP to access the Protocol, including Bolivia, Fiji, Ghana, Togo, and Venezuela. Although the ratification/accession of UNTOC and the FP are critical, they constitute just the first step towards implementation. Effectiveness must be recognized within each of the 5 pillars, as it is on the basis of this complementarianism of these pillars and the holistic approach on which the GFP is based. As explained above (See "Limitations to the evaluation"), assessing the effectiveness of the GFP has been challenging, given the limited availability of measurable indicators with baseline and target

²³ It should be noted that neither UNTOC nor the Protocol contain provisions requiring Member States to report on implementation, once they have acceded to these instruments. UNTOC and the Protocol contain references to the Conference of the Parties to UNTOC, which in effect serves *inter alia* as an information exchange forum for Member States, but this imposes no obligation on governments to report about implementation action taken. It is therefore not possible to assess GFP effectiveness against government reports –as it is to some extent, for example, in relation to Human Rights conventions. It remains to be seen to what extent the Mechanism for the Review of the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto, which was adopted in October 2018 and will be implemented as of October 2020, will address this challenge. As the assessment of the implementation status by each country follows an eight-year cycle, the mechanism will likely entail the need for the GFP to develop programmatic indicators that help to measure implementation.

²⁴ According to the GFP team, "while not every single [FP ratification] is attributable directly to the work of GFP, its overall contribution to increase awareness and knowledge on the instrument, and the work done through the WGFA have played a major role in it, including the close cooperation with the EU leading to the ratification by the EU itself and by several EU Member States."

values that could be used for this purpose, given the lack of clear indicators of implementation and success in the GFP programme documentation, as well as limited baseline and target data on the achievement of individual outputs and outcomes (See "Limitations to the evaluation" at the Introduction section). Despite this, there are clear areas where effectiveness is demonstrated.

The GFP studies on firearms are of great significance, utilizing a standardized methodology developed by experts that could be used on an international basis. The Illicit Arms Flows Questionnaire (IAFQ) allowed for MS needs to be reflected, providing some baseline data for projects, utilizing inquiries that not only addressed firearms seizures, but also how these seizures are connected to TOC, and other forms of criminal activity. The strategic, innovative direction of the study as not simply a statistical process, but also an investigative one, including information that works to compliment criminal justice processes, places the research study as a flagship product of the UNODC. Despite initial resistance, participation from Member States has almost doubled, continuing to provide data on an ongoing basis, despite the conclusion of the study. Countries provided feedback that, as a result of the GFP, they now recognize the added value of such processes, and that their national data collection systems have been improved because of this collaboration. This feedback suggests that data collection efforts were not only effective, but are also on the right track for becoming sustainable.

The GFP embraced an integrated approach to tackling the issue of the marking of firearms, including the support of legislative reform, the provision of required equipment and relevant training, and the development a standardized record-keeping system for the marking of firearms, a very important tool, essential for firearm control and criminal justice investigations. While the GFP team is aware that there is still room for more work in this area, Member States reported that the GFP has contributed to significant gains in their own practices. Examples of successes are in Burkina-Faso, where most of the weapons within the national police have now been marked for several years, recorded in a centralized registry, and in Niger, where officials now mark weapons used by law enforcement, averaging around 6,000 weapons a month. Bosnia and Herzegovina reported that the assistance provided by the GFP in the adoption of firearms import marking into law was very effective, and that the reformed criminal legislation was viewed as a relevant milestone for the country. In Argentina, the National Agency for Controlled Materials (ANMAC), acting under the authority of the Ministry of Justice and Human Rights, carried out the destruction of 25,000 firearms from crime in August of 2016. This event is solid example of the effectiveness and impact of the GFP and demonstrates the potential for the programme to continue to serve as a key player in the global fight against firearms trafficking.

MS unilaterally praised the GFP about the high quality of the training provided, emphasizing that what set the UNODC training apart from other international training providers was the richness of the content, and level of granularity involved. Front line officers described the hands-on experience and practical examples on detection as very useful, practical and implementable in practice. The training also served to help officers detect other illicit goods and contraband in their daily work in the field, building recognition of the linkages between firearms trafficking and other forms of transnational organised crime. It was noted that building the capacities of front-line officers is of critical importance to MS. Within the criminal justice sphere, the GFP has proven invaluable in terms of judicial reform. MS are recognizing that, in order for the criminalization of firearms trafficking to be effective, change must be systemic, and not just limited to the handling and disposal of the weapon at the time of seizure. Judicial processes are evolving due largely in part to the training (and awareness) provided by the GFP, with the possession of a weapon moving from a compliment to a crime, to a stand-alone crime, and to be processed accordingly. Examples of effectiveness occurred in Argentina, where significant changes in the approach to the processing of firearms throughout the criminal justice system has decreased initial processing time from 6 months to 24 hours. Another example of such effectiveness took place in Niger, where, as of November 2019, prosecutors now require that illegal weapons be subject to a separate criminal procedure. Further reform in Niger now exempts individuals voluntarily relinquishing illegal weapons in their possession from prosecution. This key reform has had a rapid impact, resulting in a significant number of arms being handed over by past armed groups.

Despite the demonstrated success of training initiatives, the overall effectiveness of the GFP is hampered by the high rotation of staff within beneficiary organizations. This means that training programs must be repeated on an ongoing basis, in order for them to remain useful. It should be noted however, that the issue of staff turnover within counterpart organizations is a frequent challenge in training activities, which could be potentially mitigated by focusing on institutionalized learning, through continued delivery of Training of Trainers (ToT) programs. It was also noted that there is a general segmentation of issues that diminishes the effectiveness of the UN response, with room within the GFP program to put stronger emphasis on the linkage of arms trafficking to other aspects of transnational organized crime, and, in turn, conflict.

Numerous regional meetings, seminars, workshops and other activities, including international study tours, have been provided to Member States by the GFP, creating platforms for training, the sharing of ideas, experiences, and best practices. These events often bringing together Member State representatives that would otherwise not have the occasion to gather due to political sensitivities. These formal activities are clearly effective in terms of the goals of the GFP, but the added value of these activities stem from informal relationships that develop between participatory counterparts through these exchanges. These platforms developed by UNODC, and its subsequent interactions, provide opportunities for breaking down barriers to trust and for building a sense of commonality between agencies. Feedback from interviews reflected that these formal exchanges often lead to valued informal ongoing contact between counterparts, as a direct result of the contributions of the GFP.

Effectiveness at project level

Interviews with UNODC staff and key stakeholders suggest that the **Sahel** projects were effective in the sense that many of the planned activities were implemented and that progress was achieved towards the planned outcomes. However, evidence of effectiveness is mainly anecdotal because the indicators were not sufficiently precise and progress towards achieving them was not sufficiently documented. The **Western Balkans** was also effective in terms of activities in relation to training and studies of legislation delivered. The project reports showed that efforts were made to link the activities to results consistent with the overall GFP. Both these sub-regional projects were seen as particularly effective in terms of training provided (see case study on Bosnia-Herzegovina).

The **DG Home** project was also effective in the sense that many of the planned activities were implemented and the three sub-objectives were largely achieved, as demonstrated by the amount of information compiled, the analysis developed and the feedback from stakeholders at country level involved in project activities such as training on data collection. A clear improvement was observed with the capacity to collect and analyse data from 81 countries (versus 48 from the previous edition launched in 2015). The key limitation to the effectiveness of the project was its dependence on national focal points to provide data. While some countries were able to address all areas of the questionnaire developed by UNODC, many others provided less detailed responses (or did not respond at all). This reflects the weakness of local data collection mechanisms and the difficulty to deal with a lengthy and complex questionnaire that requires extensive quantitative information to be compiled at national level, sometimes from a range of jurisdictions. Technical assistance and advice by the GFP team to focal points and National Commissions helped address this weakness, but structural constraints on data collection and transmission could not be fully overcome by this project. Feedback from interviewees suggest that additional funds that would allow a new round of technical assistance in data collection by the states and elaboration of a new edition of the Global Study would be a decisive contribution to the field.

The **DEVCO** project has been effective in the delivery of wide range of activities and results. This includes a number of activities aimed at raising awareness and engagement with decision-makers on the issue of firearms and its international responses; the production of training materials and delivery of courses to firearms practitioners; the development of standard operating procedures (i.e. for seized firearms, their management and storage) and specialised tools (integrated software for firearms); as well as the collection of

information about cases, seizures and operations related to investigations in the countries where GFP provides technical assistance.

A number of other project reports, directed at donors and in some cases at the COP and the Working Group on Firearms, have provided an overview of the project and programme's activities. These were consistent with feedback from stakeholders in highlighting the high quality of the activities implemented, be they in relation to training, legal advice, institutional capacity building or research.

SUMMARY – EFFECTIVENESS

The GFP is achieving a wide range of project activities.

There are clear signs that, through project activities in all regions, a wealth of outputs and outcomes are being achieved, reflected in both interviews and reporting. The integrative approach across the 5 pillars and initiatives has proven effective in establishing the linkages between firearms trafficking and other forms of transnational organized crime.

The evolution of foundational stakeholder capacities is clearly shown but could be further enhanced by increased emphasis on institutionalization of efforts, mitigating the challenge of high rotation of staff within beneficiary organizations.

The assessment of effectiveness at outcome level of the overall GFP– and that of some of the individual projects – should be interpreted with caution, given the limited availability in GFP logframes of measurable indicators with baseline and target values.

IMPACT

EVALUATION QUESTIONS:

- To what extent has the Programme as a whole, and the individual projects, contributed, or are likely to contribute, to long-term impact and/or intermediate results (directly or indirectly) for its recipients and partners?
- To what extent did the project/programme contribute, or is likely to contribute, to the achievement of Sustainable Development Goals 5, 16, and 17?

The GFP has achieved a number of attributable elements of impact at the international and country level – these are reviewed below. The programme is directly contributing to SDG 16 (summarised as covering peace, justice and institutional strengthening). In comparison, its contribution to SDGs 5 (Gender Equality) and 17 (partnerships for the goals) is indirect.

- The clearest impact of GLOX34 has been the generation of awareness of the issues surrounding firearms trafficking. As a result, Member States have embraced a shift in their own perspectives and priorities of what is a global issue, and see the potential for contribution they can make, within their own borders, and on an international stage. Without successfully facilitating this critical paradigm shift, the GFP would have rendered itself of decreased value. As quoted by one Member State representative in the field stage: “The simple fact of receiving a visit from UNODC already provokes (us) to review protocols, and to compare with other countries.” In the context of political and other country-specific sensitivities, the role of the UNODC as a neutral third party of exemplary reputation has proven of critical importance in facilitating this change.

- Legislative reform is essential for creating significant change in preventing and countering illicit firearms trafficking. This is the most ambitious element of the GFP; a lengthy commitment requiring many layers of intervention, advocacy and support. Feedback from Member States confirmed that, due to the GFP, they are now aware of gaps in their own national legislation, and have, to varying degrees, accepted programme support in implementing change. They also recognize that legal amendments will have a long-term, positive impact on the effectiveness of their own national efforts in tackling the threat of firearms trafficking. National legislation reform implementing relevant provisions of UNTOC and the Firearms Protocol is considered to be a significant indicator of impact. A number of countries have adopted relevant legislation, or draft bills, after seeking legal advice and consultation from the GFP. This was the case, for example, in Argentina, Bolivia, Bosnia and Herzegovina, Burkina Faso, Central African Republic, Chile, Niger, Senegal, and Uruguay, amongst others.
- In relation to research and monitoring of firearms trafficking, stakeholders noted that they were prompted by UNODC's requests for information to strengthen their national monitoring and information-sharing mechanism. According to interviewees, the UNODC questionnaire has influenced the way in which countries compile and manage data on firearms trafficking. For example, a decree was issued in Brazil to demand that each state compile data on firearms seizures and transmit the information to the federal level – this requirement was reported to have come in direct response to the UNODC questionnaire and effort to compile data on seizures and firearms trafficking.
- The inclusion by the DG Home project of a capacity building element aimed at encouraging Member States to establish or improve national data collection mechanisms also suggests that the project is likely to leave a substantial impact over time. This capacity building element was developed by the GFP in anticipation of the challenges posed by the fact that many Member States were ill-equipped to compile and keep updating the information required under the questionnaire, which was identified as a likely limiting factor to the impact of the project.

SUMMARY – IMPACT

The most significant impact of the GFP is the shift in Member State perspectives and priorities towards firearms trafficking and should be considered to be key to the overall success of the Programme.

National legislation reforms implementing relevant provisions of UNTOC and the Firearms Protocol, national initiatives launched to strengthen national firearms data collection, monitoring and information-sharing mechanisms are significant elements of impact and are all tangible results of the GFP.

The GFP is contributing to SDG 16.4.2 and has achieved attributable elements of impact at the international and country level.

SUSTAINABILITY

EVALUATION QUESTIONS:

- To what extent has the Programme as a whole, and the individual projects, contributed to long lasting changes and improvements in legislative and institutional frameworks and capacities of beneficiaries to address firearms trafficking and related forms of crime?
- To what extent do project beneficiaries share the Programme's approach and have taken ownership of the joint efforts?

UNTOC, the Firearms Protocol, and UNODC (through its GFP team) as the custodian of these instruments, constitute the very mechanisms that ensure the sustainability of the fight against firearms trafficking. Member States' adherence to these instruments and consultations with the GFP are therefore in themselves the basis of sustainability in this field. There is no doubt, on the basis of consultations with stakeholders and in view of reports to the COP and the WGFA, that the GFP is a major contributor to the sustainability of the worldwide activities addressing illicit trafficking in firearms. This aspect of sustainability was further sustained by UNODC's core budget, which supported the GFP's function as the de facto secretariat of UNTOC and WGFA. It was further sustained by project funding, which brought the programme staffing level closer to actual needs, as UNODC's regular budget only funded one professional position in GFP.

The sustainability of the GFP must therefore primarily be seen in the light of the above institutional role of UNODC. Many of the UNODC staff have had lengthy tenures within the GFP, creating strong in-house memory, and continues to provide continuity of efforts and momentum in programme activities and implementation. The team's ongoing interactions with national stakeholders, its collective expertise and capacity to provide ad hoc advice as well as structured policy documents, are all contributing to that aspect of the programme's performance. Nevertheless, projects often face structural limitations on sustainability, especially in low-income countries, including: limited proportion of qualified officials, high turnover of qualified personnel and limited scope for dissemination of skills. The majority of beneficiary countries lack national funds to support efforts, so both engagement and exit strategies must be viewed within in this context. In the Sahel region, the challenge of violent extremism is also a factor that hampers sustainability because political priorities in G5 Sahel countries have focused on a military response. Political instability in some countries equally impacts on the sustainability of the programme. Nevertheless, there are clear elements of sustainability stemming from project activities. These include:

- Development of core capacities and skills among national stakeholders. Through training, the programme has fostered skills that contribute to strengthening law enforcement and judicial institutions in a wide range of countries.
- By providing training and reference materials in a number of recipient languages²⁵ and conducting ToT programmes, GFP helps to ensure better chances of sustainability of the support, and a more substantial possibility of long-term impact.
- The support in preparing legislative assessment and advice, draft laws and regulations provides a framework for control regimes on firearms and criminal justice response to illegal trafficking.

²⁵ As an example, the project in the Western Balkans implemented ToT courses translated into Bosnian, Albanian and Macedonian, opening the possibility that national academies integrate the knowledge in their own curriculum. (Source: Western Balkans project progress reports).

Whenever this support is converted into laws or regulations approved or amended, the programme increases the chances of more sustainable results that go beyond the limits of a political term.

- Support for exchange of experience among stakeholders. Meetings of the COP and WGFA are opportunities for national representatives to share experiences and good practice; the team supports this by encouraging and documenting these exchanges. In addition, the Community of Practitioners is also an exchange mechanism where peer-to-peer skills development may take place. An encouraging start has been made in this respect, though the Community has yet to deploy to its full potential as a network.
- Support for research and monitoring. The GFP is uniquely well placed to foster such research. Regional institutions may also have this function, but UNODC is the only institution that conducts holistic research on the issue of illicit firearms trafficking (not just on the policing or border management aspects). Countries provided feedback that, as a result of the GFP research activities, they now recognize the added value of standardized data collection and methodology in their fight against firearms trafficking, and that their national data collection systems have been improved because of this collaboration. This feedback suggests that data collection efforts were not only effective but are also on the right track to becoming sustainable.

Factors hampering sustainability include the dependency of projects on donor funding, which causes uncertainty as to the continuity of in-depth engagement with individual countries; and the lack of clear and explicit exit strategies spelling out the projects' expected legacy, irrespective of whether or not they will be renewed. Furthermore, the design of projects does not always explicitly seek to develop strategies that build on relationships with stakeholders beyond the implementation period. There are opportunities to further support sustainability of GFP efforts by encouraging the development of institutional memory of Member State organizations, through increased focus on initiatives such as training for trainers.

SUMMARY – SUSTAINABILITY

The GFP is a major contributor to the sustainability of the worldwide activities addressing illicit trafficking in firearms. The sustainability of the GFP must therefore primarily be seen in the light of the above institutional role of UNODC.

Additional elements of sustainability can be seen in the Programme's support in preparing draft laws and regulations, the development of skills among national stakeholders, the support for exchange of experience among stakeholders and the support for research and monitoring. The team's ongoing interactions with national stakeholders, its collective expertise and capacity to provide ad hoc advice as well as structured policy documents, are all contributing to that aspect of the programme's performance.

PARTNERSHIPS AND COOPERATION

EVALUATION QUESTIONS:

- To what extent did GLOX34 establish partnerships and cooperation practices with regional entities to support the development and implementation of regional strategies to address firearms issues? To what extent have such mechanisms and practices contributed to increased effectiveness of the different stakeholders involved?
- To what extent did GLOX34 establish partnerships and cooperation practices with other partners (including UN agencies, CSOs, academia, etc.) to counter the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition and to contribute to the achievement of the SDGs?

In line with the notion of partnerships as a wide range of arrangement types and cooperation forms working at different scales, geographic levels, levels of formality, etc.,²⁶ the GFP has established and nurtured a number of informal relationships and cooperation arrangements with Member States, IGOs, CSOs and academia. These partnerships have contributed to increase cooperation and create a sense of connectivity between firearms practitioners of different institutions and countries.

At global level, the GFP has developed partnerships, inter alia, with INTERPOL and UN entities through the UN Coordinating Action on Small Arms (CASA) mechanism and bilateral links with CTED, UNIDIR, UNODA, UNOCT and others. At regional level, cooperation linkages of the GFP include:

- Latin America: long-standing links with regional programmes and projects, such as the Organization of American States (OAS) and its consultative Committee of the CIFTA Convention; MERCOSUR and its Working Group on Firearms GTAM; Central American Security System – SICA, as well as increased partnerships with INTERPOL.
- Western Balkans: close ties with the South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC); EMPACT Firearms; EUROPOL; EUROJUST and FRONTEX.
- Sahel region: linkages with INTERPOL (regionally and through various TRIGGER operations and through the joint KAFO operation, leading also to joint programming); ECOWAS and more recently ECCAS; and a number of other actors present and active in the field of firearms control (including UNODA and UNDP), including regional CSO networks such as the West African Network on Small Arms and international NGOs such as Small Arms Survey. The Sahel projects were mindful of the activities of other intergovernmental actors such as UNDP and developed joint initiatives with INTERPOL. There were several instances of collaboration with ECOWAS and ECCAS²⁷.

In addition, the programme has links with other UN agencies and mechanisms as well as regional institutions. Feedback from Member States noted the value of their inclusion in the development of GLOX34 activities, with the UNODC team creating a culture of collaboration and participation, providing leadership, and

²⁶ See: The SDG Partnership Guidebook: A practical guide to building high-impact multi-stakeholder partnerships for the Sustainable Development Goals, Darian Stibbe and Dave Prescott, The Partnering Initiative and UNDESA 2020

²⁷ According to the GFP team, ECCAS is kept abreast of developments as regards Central African countries (particularly the Central African Republic). It partnered with the GFP in organising a regional legislative workshop_ and was generally involved in close cooperation with GFP. Through the DEVCO project GFP is planning to cooperate with ECCAS on the issue of legislation.

designated focal points, developing roadmaps based on the needs of the institutions, emphasizing that the continued communication between Member States and the GFP has been fundamental in these processes.

Many of the GFP's partnerships have been developed on an informal basis. This flexibility has allowed the GFP to effectively engage in collaborative efforts with a broad range of stakeholders. As a member of the GFP team reported, such informal cooperation linkages "are used strategically to [harness] the convening power of different partners to build on each other's expertise and avoid duplication".

Feedback from interviewees shows that many collaborative relationships between Member States have been generated by the GFP. A solid example of this is demonstrated between Argentina and Brazil, and the actions taken to streamline their regulations in relation to firearms components. The two countries were able to work in synergy to identify a lack of congruency in their regulations surrounding certain firearms components. Some were prohibited in Brazil, while these same components were legal in Argentina. Following its engagement with Brazil, facilitated by the GFP, Argentina worked to align and harmonize their regulations to reflect Brazil's, to reduce the trafficking of these components between the two countries.

As noted previously in effectiveness, numerous regional meetings, seminars, workshops and other joint activities were provided to Member States by the GFP. MS commented that they viewed these forums as an opportunity to meet peers, to create a means of connectivity to engage in more informal cooperation and faster exchanges of data sharing, trends, and feedback from the field. The primary means of this communication is taking place over easily accessible social messaging platforms, such as WhatsApp. Counterparts commented on the added value of joint operations such as KAFO, implemented by INTERPOL and UNODC, bringing together colleagues (police, customs, border agents and prosecutors), from Burkina Faso, Côte d'Ivoire and Mali. This successful initiative reinforced the value of building strong regional partnerships, and that in doing so, overall mutual efforts in the prevention of firearms trafficking would be more effective. MS expressed a strong desire for more such activities.

The GFP was also able to improve domestic partnerships, overcoming competition, and bureaucratic processes to bring together various law enforcement agencies such as border police, customs, and trade (with comparatively less success with military structures). Increased domestic partnership was noted of particular value in Bosnia and Herzegovina, where interagency partnerships and cooperation had historically encountered significant challenges.

Cooperation with CSOs such as the International Action Network on Small Arms (and its sub-regional affiliates) and Small Arms Survey has taken place on several occasions. Nevertheless, there is scope for greater engagement with civil society, particularly in terms of advocacy and awareness raising campaigns aimed at the media and the wider public. The research and monitoring pillar of the GFP would also benefit from further engagement and consultations with civil society organisations dealing with firearms trafficking and related crimes (including for example trafficking in persons). Some of these have extensive research and analysis expertise and could contribute to institutional capacity building in this field. The GFP could also enrich its research reports by collaborating with other institutions and NGOs, for example to develop case studies that deepen the understanding of traffic flows, modus operandi and links to other forms of criminality²⁸.

Examples of such cooperation have taken place in the context of the DG Home funded project. The GFP is, as part of this project, working on a report on illicit firearms trafficking to, from and across the European Union that is supported by the Flemish Peace Institute. It has also worked on a report on the "The Prevalence of Firearms in the Criminal Dynamics of the Province of Cordoba" which was drafted by the Observatory of Studies on Coexistence and Citizen Security of Cordoba, Argentina. Previously, UNODC also drafted an annex chapter to a study by RAND Europe entitled "Behind the curtain: The illicit trade of firearms, explosives and

²⁸ It is noted, in this regard, that there are procurement challenges that may hamper the institutionalisation of these types of cooperation agreements.

ammunition on the dark web”, which helped to highlight the relevance of the topic addressed at international level. The GFP has other informal links with academic institutions and think tanks – these are to be further encouraged.

As for partnerships and cooperation with academia, the collaboration between the GFP team and the UNODC Education for Justice (E4J) initiative is interesting in terms of the holistic approach to address firearms trafficking, by seeking to promote a culture of lawfulness through primary, secondary and tertiary education. The GFP team also reported that, since 2017, the GFP engaged with academia in the organization of expert group meetings and regional implementation workshops. These activities have contributed to bridge the gap between academia experts and firearms practitioners, leading to tangible results like the delivery of a firearms module that has been developed by academics with support of the GFP.

Other partnerships between the GFP and academia, at the country level, aimed at enhancing the understanding of the gender aspects of armed violence, as well as its social and psychological consequences. In this regard, interviews in Argentina highlighted the potential benefits of cooperation between law enforcement agencies, civil society organisations and academics in these aspects of research and in bringing relief to victims. The experiences above suggest that there is scope for further cooperation and partnerships with academia.

The GFP is collaborating with other UNODC country, regional and thematic programmes as well. In this regard, there is a strong opportunity for the GFP to work in closer collaboration with the UNODC-WCO Container Control Programme (CCP), which focuses on building capacity in countries seeking to improve risk management, supply chain security, and trade facilitation in seaports, airports and land border crossings in order to prevent the cross-border movement of illicit goods. The GFP and CCP are currently in the process of developing a joint proposal with UNDP, as part of the road map to 2024. The proposal is now undergoing a second round of review, with plans for implementation in April 2021, if approved. There is room for considerable impact in this collaboration, drawing together parallel experiences and methodologies in the detection of various forms of contraband and defining linkages to transnational organised crime.

The GFP is also developing an initiative called the Community of Practitioners (CoP), a platform of law enforcement, prosecution and customs services around the world who work the area of illicit firearms. The role of the GFP will be to support practitioners to discuss their own cases and experiences, share best practices, and, in turn, promote regional and international cooperation. This initiative will also include a website, for the ongoing sharing of data, trends and practical experiences with an open and a secure environment, a periodic newsletter, and regional / cross-regional meetings inter alia.

SUMMARY – PARTNERSHIPS AND COOPERATION

The GFP has established and nurtured a number of informal relationships and cooperation arrangements with Member States, IGOs, CSOs and academia. These partnerships have contributed to increase cooperation and create a sense of connectivity between firearms practitioners of different institutions and countries.

The GFP is also collaborating with other UNODC country, regional and thematic programmes as well. In this regard, there is a strong opportunity for the GFP to work in closer collaboration with the UNODC-WCO Container Control Programme (CCP).

There is scope for greater engagement with civil society, particularly in terms of advocacy and awareness raising campaigns aimed at the media and the wider public. There is also scope for greater engagement with civil society and academia in firearms

HUMAN RIGHTS, GENDER EQUALITY AND LEAVING NO ONE BEHIND

EVALUATION QUESTIONS:

- To what extent were Human Rights considerations included in the project design and implementation?
- How can the human-rights based approach be further strengthened in the Programme?
- To what extent were Gender Equality considerations included in the project design and implementation?
- How can the Programme further work towards Gender Equality and mainstream a gender perspective into the different stages of the Programme cycle and all its thematic pillars?
- To what extent were under-represented and vulnerable groups included in the project design and implementation?

HUMAN RIGHTS

The programme, by its very nature, is conducive to safeguarding Human Rights in the sense that a reduction in armed violence and in instances of illicit manufacturing, possession and trafficking, as a result of increased levels of controls over firearms, their transfers, management, ownership and disposal, and from enhanced enforcement of related provisions establishing as criminal offence the illicit acquisition, manufacturing of and trafficking in firearms, helps protect the rights to life, security, and physical integrity. Adoption of legislation that is in accordance with UN conventions and Human Rights standards help safeguard Human Rights further. Improvements to law enforcement and capacity building for the judiciary in relation to firearms are also supportive, in principle, of strengthening the rule of law, hence contributing to reducing Human Rights violations and abuses. Any reduction in criminality is in principle a positive development also in terms of the exercise of economic, social and cultural rights by citizens. For these reasons, it can be said that the GFP is contributing to improving the Human Rights situation at national level.

Nevertheless, the programme and its constituent projects to date have not adopted a Human Rights-based approach to programming, nor have they explicitly prioritised Human Rights in the design of activities or the formulation of outcomes and objectives. There are brief references to Human Rights in the original GFP project document, noting that arms transfers to countries under embargo may have contributed to Human Rights violations and that the programme will support Human Rights by contributing to good governance. Other implicit or explicit references to Human Rights appear in some project documents – such as the Western Balkans project of 2017 – but the issue is generally given little prominence.

This is not to say that Human Rights were not taken into account in activities: progress reports and other documents indicate on the contrary that Human Rights concerns related to illicit firearms trafficking are raised during training sessions, and that Human Rights experts have been involved in the implementation of some activities.

GENDER EQUALITY

The issues of **Gender Equality** and mainstreaming are explicitly raised in a number of project documents and reports, as well as in the GFP logframe. While some references are of a general nature, others are more specific, for example when it comes to gender mainstreaming in training curricula or to promoting the role of women in law enforcement to fight trafficking. Progress reports do not generally give detailed gender disaggregated information on participation in project activities, though such information is available in reports concerning individual activities.

Although the programme seems to increase the participation of women in training activities and aims at reaching a gender-balanced composition of speakers and trainers (by including this recommendation in the invitation to stakeholders), there is still substantial gender imbalance among participants of GFP activities at national level, with important differences between countries in the proportion of women in law enforcement and the judiciary, including at senior levels. It is noted that the GFP team is comprised of a broad gender balance, including at management level and in terms of outside experts and consultants.

The GFP team shows awareness of opportunities for further mainstreaming gender issues into the different pillars of work of the GFP, and is actively seeking areas for further gender integration in their activities and outreach. After the initial data collection, the evaluation was informed that a gender focal point has been put in place. Funds from Sweden have been earmarked for an anticipated pilot project in one country to address the gender dimension –not only from the perspective of women who have been victims of firearm related crimes, but also as offenders. An expert consultant will be recruited to assist the programme in carving out niches for women across activities, not just as victims, but also as perpetrators of firearms trafficking and related offences. This initiative is in line with the feedback provided by interviewees, which suggests that role of women and their connectivity to their communities in relation with firearms trafficking could be explored further. The GFP has not conducted a specific research on the gender impact of armed violence.

The GFP also acknowledged that there is room for further expansion of gender criteria included in the questionnaire sent to Member States for data collection (currently set at one question). It is relevant in this context to quote from a recent Small Arms Survey publication²⁹:

“Lethal violence, including firearm violence, is highly gendered, with the majority of both victims and perpetrators being male, and with most of the female victims being killed as a result of gender-based violence committed by men. (...) In societies where data on violent death (and non-fatal injuries) is available in sex-disaggregated form, relevant baseline data has contributed to policy responses that address gendered aspects of gun violence (...) ***The most robust gender-relevant data is often generated not by the routine gathering of national statistical data, but by carrying out independent, donor-supported surveys.***” (Emphasis added)

The GFP, including through a recent publication³⁰, has invited national authorities to enhance their understanding of armed violence by collecting gender-disaggregated data on issues such as the demography of the use of firearms in violent crime.

The programme and project documents refer only in passing to vulnerable or under-represented groups (as well as youth) and the design of projects does not include an explicit consideration of vulnerability. Where they exist, data on the impact of firearm violence on vulnerable groups – including ethnic minorities and indigenous people – show their particular vulnerability. It would be important to take these groups explicitly into account in research and in the other GFP pillars, following the same logic as in the case of Human Rights and Gender Equality.

As with the role of women, as legal reform evolves (such as the decriminalization of the possession of illegal firearms that are relinquished), there exists an opportunity for the GFP to conduct research on the awareness and experiences of vulnerable groups in relation to the trafficking and illegal possession of firearms at the local/community level (perhaps in collaboration with CSO’s.)

²⁹ See: The SDG Partnership Guidebook: A practical guide to building high-impact multi-stakeholder partnerships for the Sustainable Development Goals, Darian Stibbe and Dave Prescott, The Partnering Initiative and UNDESA 2020

³⁰ According to the GFP team, ECCAS is kept abreast of developments as

SUMMARY – HUMAN RIGHTS, GENDER EQUALITY AND LEAVING NO ONE BEHIND

The programme, by its very nature, is conducive to safeguarding Human Rights in the sense that a reduction in armed violence helps protect the rights to life, security, physical integrity. The issues of Gender Equality and mainstreaming are explicitly raised in a number of project documents and reports, as well as in the GFP logframe. The programme and project documents refer only in passing to vulnerable or under-represented groups (as well as youth) and the design of projects does not include an explicit consideration of vulnerability.

While Human Rights have been taken into account in several activities, the programme and its constituent projects to date have not adopted a Human Rights-based approach to programming. There is a broad gender balance in programme staff, including at management level and in terms of outside experts and consultants. However, there is scope for the GFP to further mainstream gender issues into each pillar of its work.

LESSONS LEARNED AND BEST PRACTICES

EVALUATION QUESTIONS:

- To what extent have lessons learned from project implementation been cycled into the project?
- What good and best practices emerged from the project implementation and what lessons can be learned from the project implementation in order to improve performance, results and effectiveness in the future?

The successive revisions of the GLOX34 project document constitute a form of evidence that aspects of the project's approach evolved in part as a result of lessons learned from implementation. The case studies appended to this report show that the GFP team has exercised flexibility in implementing projects and has been sensitive to country situations, even when the design of projects was following a fairly standard template. It is important in particular to note that GFP team members have used their in-depth understanding of national situations, and long experience of firearms control issues, to shape most programme activities, from legal advice to training and data-gathering.

The issue of arms trafficking needs to continue to be addressed along with other forms of trafficking, transnational organised crime, and other types of criminality. The GFP continues to incorporate these elements into their programming, blending together the 5 pillars that make up the holistic structure of the programme. As the GFP continues to evolve and expand in terms of both geography and content, it will be important for the program to ensure that reviews are comprehensive and account for the interconnectivity of issues and for depth of knowledge gained throughout the process.

Despite successful active management examples (like the relocation of funds from a cancelled pilot activity to enable the expansion of the study on firearms to global scope), fragmentation of funding, and the associated difficulties to relocate funds as needed, has been a hindering factor for the efficiency of the programme. This suggests the need for the GFP management team to explore ways of ensuring more predictable and flexible sources of funding for the programme.

SUMMARY – LESSONS LEARNED AND BEST PRACTICES

The successive revisions of the GLOX34 project document constitute a form of evidence that aspects of the project's approach evolved in part as a result of lessons learned from implementation. GFP team members have used their in-depth understanding of national situations, and long experience of firearms control issues, to shape most programme activities, from legal advice to training and data-gathering.

Despite examples of successful active management (like the relocation of funds from a cancelled pilot activity to expand the scope of the GFP study on firearms), fragmentation of funding, and the associated difficulties to relocate funds as needed, have hindered the efficiency of the GFP. This suggests the need for the GFP to explore ways of ensuring more predictable and flexible sources of funding for the programme

III. CONCLUSIONS

On the basis of the evaluation findings, the following conclusions may be drawn about the GFP. These conclusions result from the findings and evidence detailed in the previous chapter under the range of evaluation criteria set out in the ToR. Some of these conclusions are also discussed as lessons learned in chapter V below.

1. **The GFP has markedly strengthened international efforts to fight trafficking in firearms and related criminality.** The GFP started in 2011 as a single global project targeting 15 countries. Since then, it has increased its presence and interaction with key stakeholders on the ground as to become, at present, one of the most relevant international actors in its field. The GFP has accumulated unique expertise and enjoys an excellent reputation among stakeholders. It genuinely adds value to UNODC as a whole.
2. **A key strength of the GFP is its holistic approach, combining legal, regulatory, law enforcement and criminal justice responses, advocacy and research components.** The holistic approach developed by the GFP, which addresses the key elements of the cycle of illicit firearms trafficking –from awareness raising and the provision legislative advice and drafting guidance to the provision of technical and operational support to Member States and research– has proved effective in shifting perspectives and priorities in Member States as well as in triggering tangible improvements in a wide-range of areas including firearm marking, firearm control and criminal justice investigations, and monitoring and analysis of firearms flows.
3. **The GFP’s pillar-based structure and intervention logic are consistent with its holistic approach.** The strategic focus and results-orientation of the programme could be enhanced by fully developing the GFP’s theory of change, and by revising GFP’s logical framework and progress reports, in line with UNODC’s guidance on RBM.
4. **The GFP and its constituent projects have met clear needs for institutional capacity building in relation to firearms trafficking.** Since the near-universal accession to UNTOC by UN Member States and the support by a great majority of governments for the Firearms Protocol, the need to prioritise implementation capacity at national level, has been correctly identified and addressed.
5. **The GFP team combines in-depth expertise and a long and credible record of work addressing firearms trafficking and related criminality; its commitment and skills have been key to GFP successes.** The GFP team is highly qualified; its qualities are clearly recognised by stakeholders, who have been nearly unanimous in praising the advice given by the team and the quality of the activities it has implemented. The team is therefore a strong asset for the programme.
6. **The administration of the various GFP budget has been satisfactory. Despite delays in some activities, project funds were used as originally intended and there were no cost overruns.** The overall budget execution rate was 73%, with some individual projects having comparatively lower expenditure rates –these were related to challenges associated to staff recruitment as well as to limitations to the capacity to relocate funds between projects. Successful examples of active management (i.e. the relocation of funds from the Jamaica pilot to broaden the scope of the global study on firearms) suggests the need for the GFP management team to explore ways of ensuring more predictable and flexible sources of funding for the programme
7. **The GFP team structure during the period covered by this MTE was mainly centralised in HQ-Vienna, with some staff based in the field.** The deployment of additional resources to the field across 2020 has increased the balance between HQ- and field-based staff, and creates opportunities for further devolution of decision-making to the field.

8. **Despite the expansion of the programme in recent years, GFP's funding is not commensurate with the magnitude of the challenge it seeks to address.** There are major world regions not covered by GFP projects, providing opportunities for further expansion of the programme's geographic scope. The GFP is active in the Western Balkans, the Sahel region, and in parts of South America. Activities are being developed in parts of Central Asia, in Africa outside the Sahel, Central and South America, the Middle East, and South and Southeast Asia, although these initiatives are limited by funding constraints.
9. **The GFP has developed a number of informal relationships and cooperation arrangements with Member States, international organisations, civil society organisations and academia.** These partnerships have contributed to increase cooperation and create a sense of connectivity between firearms practitioners of different institutions and countries. The GFP is also collaborating with other UNODC country, regional and thematic programmes. In this regard, there is a strong opportunity for the GFP to work in closer collaboration with the UNODC-WCO Container Control Programme (CCP).
10. **The programme as a whole has helped make the COP and WGFA an effective international forum for national stakeholders to exchange experience.** Feedback from participants and reports prepared by the team demonstrate that the team's pro-active approach to the work of the COP and WGFA helps advance the firearms control agenda and supports the Community of Practitioners component of the GFP strategy.
11. **Human Rights and gender aspects have not always been adequately addressed.** The programme design and project proposals refer to gender issues, in particular in terms of the gender impact of illicit trafficking, and sometimes address gender in progress indicators. However, the issue of Gender Equality is not yet fully mainstreamed in problem analyses, project design and monitoring. There is little mainstreaming of Human Rights and vulnerable groups in programming, although Human Rights are referred to in some activities.

IV. RECOMMENDATIONS

These recommendations stem from the above findings and conclusions:

RECOMMENDATION 1 – CRIMINAL JUSTICE RESPONSES AND CROSS-CUTTING ASPECTS OF ILLICIT FIREARMS TRAFFICKING

Strengthen GFP's focus on criminal justice responses and on the interconnected and cross-cutting aspects of illicit firearms trafficking (to the GFP Head of Programme and Programme Management team): The GFP programme management team should continue to address gaps in criminal justice responses and reform, by enhancing investigative techniques, evidence collection, and increased awareness and knowledge of prosecutors and the judiciary in respect to firearms trafficking; as well as by strengthening the focus of the programme on the interconnectivity and cross-cutting aspects of the firearms problem.

RECOMMENDATION 2 – PROGRAMME COVERAGE

Seek opportunities for increasing the global coverage of the programme (to the GFP Head of Programme): The GFP should seek to further increase the global coverage of the programme, in line with the new delegation of authority framework and UNODC Strategy 2021-2025. The GFP Head of Programme should continue to adapt the team structure to the changing size and geographical scope of the Programme, taking account of realistic prospects for funding as well as emerging challenges and needs. In consultation with relevant division and branch managers and donors, the GFP Head of Programme should seek funding opportunities and examine the feasibility of further increasing the presence in the field of GFP staff and consultants beyond the intended staffing concluded by the end of 2020, as possible

RECOMMENDATION 3 – CAPACITY BUILDING

Give increased attention to the institutionalization of capacity building efforts in target countries (to the GFP Head of Programme and Programme Management team): The GFP should continue efforts in the institutionalization of capacity building efforts and training programs. Expanding ToT initiatives would further develop institutional memory, which could potentially mitigate the challenges of staff rotation within counterpart organizations, increasing efficiency, impact, sustainability, and effectiveness

RECOMMENDATION 4 – COOPERATION RELATIONSHIPS

Strengthen cooperation relationships within UNODC and with Civil Society Organizations (to the GFP Head of Programme and Programme Management team): In consultation with other programmes and country offices of UNODC and within the UN system, the GFP should seek opportunities for further developing cooperation relationships with international and local Civil Society Organizations (CSOs) dealing with armed violence, including those dealing with gender-based violence, protection of Human Rights and vulnerable populations. Strengthening such cooperation can help further develop and implement the GFP's holistic approach to control of firearms trafficking and related criminality. Within UNODC, the GFP should seek opportunities for closer collaboration with the Container Control Programme (CCP).

RECOMMENDATION 5 – HUMAN RIGHTS AND GENDER EQUALITY

Improve GFP's mainstreaming of Human Rights and Gender Equality (to UNODC's senior management and GFP Head of Programme): UNODC's senior management and the GFP Head of Programme should take action to ensure that a Human Rights and gender analysis of the GFP is undertaken with a view to ensuring a specific focus on Human Rights and gender mainstreaming in strategic planning, implementation, and reporting.

RECOMMENDATION 6 – RESULTS-BASED MANAGEMENT

Further develop the RBM focus of the programme (to the GFP Head of Programme and Programme Management team): Building upon the integrated and holistic approach of the GFP, the GFP programme management team should review the intervention logic of the programme, and further develop its planning and monitoring instruments (i.e. logical frameworks and progress reports) in order to make them more results oriented, in line with UNODC’s guidance on RBM. The GFP programme management team should consider the possibility of fully developing the theory of change of the GFP, as to make more explicit the linkages and synergies between GFP’s pillars of work.

V. LESSONS LEARNED AND BEST PRACTICES

- **One key added value of the GFP is its holistic, strategic dimension.** The programme is holistic in the sense that it seeks to address countering firearms trafficking and criminal use through a range of approaches: law, regulations, capacity building, data collection, stakeholder engagement. It is strategic in that its overall approach is based on an analysis of the underlying causes of trafficking and its link to various forms of violence.
 - **This lesson must be followed-up** through ongoing strategic analysis of the causes and impacts of firearms trafficking and linkages with action addressing other forms of criminality.
- **The GFP has made an effective use of capacity building and technical support to Member States.** This has allowed to create platforms for the sharing of ideas, experiences, and best practices among experts and practitioners. This is a good practice that GFP should continue and develop further, and that could inform other programmes within the UNODC.
- **The progress of the GFP demonstrates the importance of supporting staff development.** By recruiting highly skilled senior staff and exposing them to a range of challenges and strategies on the firearms issue, the programme has strengthened the skills and expertise of its staff, thereby enhancing the value of the programme to national stakeholders as well as its own learning capacity.
 - **Follow-up: seek funding opportunities to ensure that staff development, including training, be an explicit part of future GFP strategy,** so as to ensure that the programme continues its holistic development, including by addressing such issues as the underlying causes of firearms trafficking, transnational organized crime, links to other forms of criminality, the promotion and protection of Human Rights, etc.
- **Sustained consultations with stakeholders at the national level during project implementation help enhancing national ownership and ensure that individual activities address needs identified on the basis of feedback from the field.** Programme staff maintains a close dialogue with stakeholders of beneficiary countries during the implementation phase of the project. This good practice allows individual activities to be customized to the needs of the country and reacting to changing conditions in the field, such as changing priority areas of stakeholders or the appearance of another technical assistance partner with similar intervention plan.
- **The GFP's flexible approach to partnership building has enabled to establish and nurture a number of informal relationships and cooperation arrangements with Member States, IGOs, CSOs and academia.** These partnerships have contributed to increase cooperation and create a sense of connectivity between firearms practitioners of different institutions and countries.
 - **Follow up: building on its experience, the GFP should keep seizing opportunities for engagement with civil society and academia** –particularly in areas such as awareness raising, research and monitoring.
- **The fragmentation of funding has been a hindering factor for the efficiency of the programme.** Difficulties to relocate funds between projects has limited the capacity of the GFP team to apply active management –despite successful examples like the relocation of funds from the cancelled pilot in Jamaica, which enabled the GFP to scale up (to global) the scope of the study on firearms.
 - **Follow up** explore ways of ensuring more predictable and flexible sources of funding for the programme

ANNEX I: TERMS OF REFERENCE

1. BACKGROUND AND CONTEXT

Project/Programme number:	GLOX34
Project/Programme title:	Global Firearms Programme: Countering illicit arms trafficking and its links to transnational organized crime and terrorism
Duration (dd/mm/yyyy-dd/mm/yyyy):	01/03/2011 – 31/12/2021
Location:	Global project managed by HQ
Linkages to Country, Regional and Thematic Programmes:	<p>The programme has linkages to the following country, regional and thematic programmes:</p> <p>Country Programmes: Bolivia, Colombia, Mexico, Paraguay and Panama.</p> <p>Regional programmes: Sahel Programme, West Africa Regional Programme, Central African Regional Programme, Regional Programme for South Eastern Europe.</p> <p>Thematic programmes: Education for Justice (GLO-Z82), the Research and Trend Analysis Branch (RAB), the Terrorism Prevention Branch (TPB) of UNODC, Global E-Learning Programme (GLO-U61), Global CrimJust Programme (GLO-Z83), the Global Programme to combat organized and serious crime (GLO-T32), Global Cybercrime Programme, Global Programme against Money Laundering.</p>
Linkages to UNDAF ³¹	Not identified
Linkages to the SDGs	The project is strongly linked to SDG Goal 16 and target 16.4; Additional links exist particularly with SDG target 16.1 and SDG Goal 5, targets 5.1 and 5.5.
Executing Agency:	UNODC

³¹ United Nations Development Assistance Framework

Partner Organizations:	NA
Total Approved Budget:	USD 10,248,010
Total Overall Budget	USD 12,154,073
Donors:	European Commission (Instrument for Stability, DG DEVCO, DG HOME), Germany, Italy, Sweden, United Nations Trust Facility Supporting Cooperation on Arms Regulation (UNSCAR)
Project Manager/ Coordinator:	Ms. Simonetta Grassi, Senior Crime Prevention and Criminal Justice Officer
Type and time frame of evaluation: (Independent Project Evaluation/In-depth Evaluation/mid-term/final)	In-depth Evaluation / mid-term evaluation
Time frame of the project covered by the evaluation (until the end of the evaluation field mission):	03/2011 – end of evaluation field mission (tentatively 02/2019)
Geographical coverage of the evaluation:	Global, with focus on West and Central Africa, Latin America and Western Balkan regions
Budget for this evaluation in USD:	USD 64,870
Number of independent evaluators planned for this evaluation ³² :	2, including 1 lead evaluator and 1 expert
Type and year of past evaluations (if any):	March 2016 – External evaluation carried out by the EU
Core Learning Partners ³³ (entities):	Albania: General Prosecutor’s Office; Argentina: Public Ministry; Bolivia: National Registry of Civilian Firearms; Bosnia and Herzegovina: Ministry of Foreign Trade and Economic Relations; Brazil: Federal Police of Brazil; Cote d’Ivoire: Commission Nationale de Lutte contre la Prolifération et la Circulation Illicite des Armes Légères et de Petit Calibre; Germany: German Federal Foreign Office; Italy: Public Prosecutor’s Office in Bari; Mexico: Ministry of Foreign Affairs; Niger: Tribunal de Grande

³² Please note that the minimum for any UNODC evaluation is two independent evaluators, i.e. one lead evaluator and one team member.

³³ The CLPs are the main stakeholders, i.e. a limited number of those deemed as particularly relevant to be involved throughout the evaluation process, i.e. in reviewing and commenting on the TOR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. Stakeholders include all those to be invited to participate in the interviews and surveys, including the CLPs.

	<p>Instance Hors Classe de Niamey; Portugal: Public Security Police; UK: National Ballistics Intelligence Service (NABIS); INTERPOL: Firearms Programme; European Union Commission: DG DEVCO and DG HOME; Small Arms Survey; Viva Rio; Parliamentary Forum on Small Arms and Light Weapons; Independent Expert (Geoffrey Francis).</p>
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Project overview and historical context

The Global Firearms Programme (GLOX34) was created in March 2011 with the overall objectives to prevent and counter illicit manufacturing of and trafficking in firearms, their parts and components and ammunition and their links to transnational organized and terrorism, and to promote adherence and implementation of the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their parts and Components and Ammunition, supplementing the United Nations Convention Against Transnational Organized Crime (Firearms Protocol). Over time, the Programme adopted an integrated approach, which is based on 5 interconnected pillars. These include: (a) enhancing policy and normative development through awareness-raising, legislative assistance and specialized tools to support ratification and implementation of the Firearms Protocol; (b) provision of technical support for the implementation of preventive and security measures to prevent the illicit manufacturing, theft of and trafficking in firearms, their parts and components and ammunition; (c) strengthening criminal justice responses to detect, investigate and prosecute the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition; (d) fostering and promoting international cooperation and information exchange to address the transnational dimension of trafficking in illicit firearms and related issues; (e) mapping and monitoring flows of illicit firearms by means of global data collection and analysis to enhance the intelligence picture of trafficking in firearms and its criminal context. This approach is also closely linked to both the implementation and the monitoring of the arms component of Goal 16, target 16.4 of the 2030 Agenda for Sustainable Development. The approach is complemented by a number of cross-cutting elements, such as gender-mainstreaming, Human Rights and civil society participation and oversight, which are integrated into the Programme's activities.

GLOX34 benefits from several funding streams, which are managed and implemented through different projects. The individual projects are interconnected, mutually reinforce each other and support the overall implementation of GLOX34. The joint evaluation of the different projects will help ensure that the interconnectivity of the various activities is understood, that the overall impact of GLOX34 is evaluated and that the ensuing recommendations are formulated in a way that are conducive for the effective implementation in line with the GLOX34 structure.

The individual projects to be taken into account for the evaluation include:

- Project “Countering transnational illicit arms trafficking through the implementation of the Firearms Protocol”: Donor: EU, European Commission DG DEVCO – Instrument for Stability; Total budget: USD 2,854,915.28; Implementation period: 1 March 2011 – 31 July 2015;
- Project “Addressing the synergies between the ATT, the PoA and other legal instruments on firearms in the areas of marking, record keeping, transfer controls enforcement and international cooperation”: Donor: UNSCAR; Total budget: USD 199,662; Implementation period: 1 January 2015 – 31 December 2015;
- Project “GLOX34 – Countering transnational illicit arms trafficking in the Sahel and Maghreb sub regions”: Donor: Germany; Total budget: USD 434,516 + USD 221,719 = 656,235; Implementation period: 1 March 2017 – 31 July 2018;
- Project “GLOX34 – Countering transnational illicit arms trafficking in the Western Balkans and improving cross border cooperation”: Donor: Germany; Total budget: USD 214,790 + USD 109,963 = USD 324,753; Implementation period: 1 March 2017 – 31 July 2018;
- Project “*Supporting Global Data Collection and Analysis on Firearms Trafficking and Fostering Cooperation and Information Sharing, in particular Among Countries along Major Trafficking Routes to/from the EU*”: Donor: EU – DG-Home; Budget: USD 1,672,304; Implementation period: 01 April 2017 – 31 October 2019 (including no-cost extension);

- Project “GLOX 34 – Countering transnational illicit arms trafficking in the Sahel sub region and its links to terrorist and organized crime threats”: Donor: Germany; Total budget: USD 563,388; Implementation period: 1 August 2018 – 31 December 2019;
- Project “GLOX34 – Support for the implementation of the Roadmap for a sustainable solution to misuse and trafficking of firearms in the Western Balkan”: Donor: Germany; Total budget: USD 552,000 + USD 111,752 = USD 663,752; Implementation period: 1 August 2018 – 31 December 2019;
- Project “Countering transnational illicit arms trafficking through the implementation of the United Nations Convention Against Transnational Organized Crime and its Firearms Protocol”: Donor: EU, European Commission DG DEVCO – Instrument contributing to Stability and Peace; Total budget: USD 3,881,166; Implementation period: 9 August 2018 – 8 August 2021;

In addition to the above-listed projects, between 2017 and 2019, GLOX34 received additional funding from Italy (USD 37,267 in 2018 and USD 22,750 in 2019 totalling USD 55,017), Sweden (USD 169,280.03 in 2017; USD 394,479.93 in 2018 and USD 531,437.17 in 2019. Totalling USD 1,095,197.13) and France (USD 44,494.00).

Particularly for the evaluation of the projects implemented in the Sahel region, the evaluation further needs to take into account the firearms component of the Sahel Programme (XAMZ17), which is managed by the UNODC Regional Office for West and Central Africa. The firearms component of XAMZ17 is practically implemented through GLOX34 staff and activities under Glox34 in the Sahel region are implemented in synergy with XAMZ17. Similarly, the work of the Programme on firearms under the Education for Justice initiative (part of GLO-Z82) needs to be taken into account.

In addition to the project specific work, GLOX34 also supports inter-governmental processes related to firearms issues, both within UNODC and other inter-governmental fora. These include, in particular the Conference of parties to the UN Convention against Transnational Organized Crime and its subsidiary body, the open-ended intergovernmental working group on firearms, the Commission on Crime Prevention and Criminal Justice, the Conference of State Parties to the Arms Trade Treaty, as well as the Biennial Meeting of States to Consider 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 and the Review Conferences of the UN Programme of Action to Prevent, Combat, and Eradicate the Illicit Trade in Small Arms and Light Weapons In All Its Aspects.

Main challenges during implementation

The main implementation challenges can be categorised into two groups: (1) Factors external to the project management; and (2) factors related to internal UN/ UNODC processes and project management.

In regard to the first category, the Programme noticed that political reasons have at times delayed project implementation or the full adoption of project outputs at national levels, such as the draft legislative texts developed together with national legal drafting committees. The Programme further considers that the sustainability of project development and implementation would have benefited from more predictable and more long-term funding. Additional challenges included the change in governments and political direction as well as the multitude of stakeholders and varying degrees of human resources, political leverage and capacities of counterparts.

In regard to the second category of challenges, the Programme had to overcome certain staffing situations, in which the selected candidates withdrew their applications or moved on to other positions within a short period of time. In consequence, the related tasks were taken over by other staff within the Programme and the Section. Moreover, the introduction of the Umoja management system and the resulting change in operational procedures has, in the initial phase of the system, delayed certain payments.

Project documents and revisions of the original project document

	Year	Please provide general information regarding the original project document.
Project document	2010	<i>The original project document was approved in 2010 with a budget of USD 3,2 million and foresaw a duration of 36 months.</i>

Project revision	Year	Reason & purpose (max. 2 sentences per revision)	Change in (please check)
1	2014	This project revision was linked to a no-cost extension of the initial project up until 31.03.2015 and to the adjustment of some activities to the changing context of some project countries.	<input type="checkbox"/> Budget <input checked="" type="checkbox"/> X Timeframe <input type="checkbox"/> Logframe
2	2015	This project revision served to extend the project duration up until 31.03.2016, to increase the project budget and to introduce adjustments to the overall objectives and outcomes/activities of the Programme in order to streamline the Programme framework and reflect its roll-on character and new mandates received.	<input type="checkbox"/> X Budget <input checked="" type="checkbox"/> X Timeframe <input type="checkbox"/> X Logframe
3	2017	This project revision served to extend the project duration up until 31.12.2019, to increase the project budget and to reflect the new staffing situation.	<input type="checkbox"/> X Budget <input checked="" type="checkbox"/> X Timeframe <input type="checkbox"/> Logframe
4	2018	This project revision served to extend the project duration up until 31.12.2021, to increase the project budget, to reflect the new staffing situation, to include gender mainstreaming in the project Logframe and to expand the thematic scope of the programme to address complementary and cross-cutting themes (such as gender, youth and vulnerable groups; SDG 16 and target 16.4 and others; links between illicit firearms and other forms of crimes).	<input type="checkbox"/> X Budget <input checked="" type="checkbox"/> X Timeframe <input type="checkbox"/> X Logframe

In addition to the Project Document for GLOX34, evaluators need to take into account the firearms component of the project XAMZ17.

Main objectives and outcomes

GLOX34 pursues the overall objective of preventing and countering illicit manufacturing of and trafficking in firearms, their parts and components and ammunition and their links to transnational organized crime and terrorism through supporting adherence and implementation of the Firearms Protocol. The specific outcomes include:

Outcome 1: Increased knowledge and awareness of the firearms issue and its international responses, and adequate legislative and institutional frameworks in line with relevant international and regional instruments in place.

Outcome 2: Increase capacities of countries and sub-regions to implement effective firearms control regimes in line with the Firearms Protocol and other relevant instrument.

Outcome 3: Enhanced capacity of criminal justice system to prevent, investigate and prosecute firearms trafficking and related offences, and to engage in effective law enforcement and judicial cooperation for that purpose.

Outcome 4: Effective international cooperation and sharing of information and good practices on the prevention and combat of firearms trafficking and related crimes, through regular contacts and use of specialized cooperation networks and platforms and taking advantage of existing initiatives.

Outcome 5: Member States follow an evidence-based approach to increase knowledge on and monitor illicit trafficking flows, and the achievement of UNSDG Target 16.4 through enhanced data collection capacities.

Concrete baselines and targets have been defined for the overall GLOX34 as well as for the different sub-projects and are used as project monitoring and assessment tool.

The below input relates to the objective and outcomes as identified for GLOX34.

Objective of the project/programme (as per project document/revision):

Objective:	To prevent and counter illicit manufacturing of and trafficking in firearms, and their links to transnational organized crime and terrorism through the ratification and implementation of the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their parts and Components and Ammunition, supplementing the United Nations Convention Against Transnational Organized Crime.
Performance indicators:	Firearms Protocol and related instruments are fully implemented, and competent authorities better equipped to counter the illicit trafficking in firearms and ammunition from or through the beneficiary countries.

Outcomes of the project/programme (as per project document/revision)

Outcome 1:	Increased knowledge and awareness of the firearms issue and its international responses, and adequate legislative and institutional frameworks in line with relevant international and regional instruments in place
Performance indicators:	Stakeholders aware of the issue of firearms and its international responses Baseline: Limited knowledge on firearms issues Target: Increased knowledge and awareness on firearms issues Number of countries that have assessed national legislative framework and adopted or enacted adequate legislative and institutional frameworks Baseline: 8 Target: 8 (maintain cooperation with equal or higher number of countries)
Outcome 2:	Increase capacities of countries and sub-regions to implement effective firearms control regimes in line with the Firearms Protocol and other relevant instrument
Performance indicators:	Increased capacity and institution building to effectively implement the Protocol requirements, including in areas such as on marking, record keeping, transfer and border controls, confiscation and disposal of firearms Baseline: 4 countries received integrated assistance Target: 4 countries receive integrated assistance
Outcome 3:	Enhanced capacity of criminal justice system to prevent, investigate and prosecute firearms trafficking and related offences, and to engage in effective law enforcement and judicial cooperation for that purpose.
Performance indicators:	Increased capacity of criminal justice institutions and practitioners to investigate and prosecute illicit trafficking cases and related forms of organized crime Baseline: No cases on firearms investigations reported. Target: Cases are reported.

Outcome 4:	Effective international cooperation and sharing of information and good practices on the prevention and combat of firearms trafficking and related crimes, through regular contacts and use of specialized cooperation networks and platforms and taking advantage of existing initiatives
Performance indicators:	<p>Increased interaction among firearms control and criminal justice practitioners at national, regional and international level Baseline: 3 regional meetings Target: 5 regional meetings</p> <p>Enhanced capacity of practitioners to implement preventive and control measures and to deal more effectively with concrete cases, as a result of exchange of good practices with their peers; Baseline: No feedback from practitioners on collaboration. Target: Get feedback from practitioners to support establishment of baseline.</p> <p>Enhanced capacity to engage in various forms of formal and informal cooperation for the purpose of tracing and of conducting criminal investigations Baseline: Need to determine current use. Target: Number of instances in which formal and information cooperation is used.</p>
Outcome 5:	Member States follow an evidence-based approach to increase knowledge on and monitor illicit trafficking flows, and the achievement of UNSDG Target 16.4 through enhanced data collection capacities
Performance indicators:	<p>Enhanced capacity of Member states to exchange information and data on firearms based on commonly agreed upon concepts and definitions; Baseline: Data collected for 2015 Firearms Study Target: Improved and more harmonized data</p> <p>Increased knowledge on firearms trafficking trends facilitate informed decision-making Baseline: Data collected for 2015 Firearms Study Target: Quality of new data provided.</p>

Contribution to UNODC's country, regional or thematic programme

Contribution to the following UNODC country and regional programmes:

1. GLOX34 contributes to the following country programmes: Country Programmes for Bolivia, Colombia, Mexico, Paraguay and Panama.
2. GLOX34 contributes to the following regional programmes: Sahel Programme, West Africa Regional Programme, Central African Regional Programme, Regional Programme for South Eastern Europe.

Contribution to the following thematic programme(s):

1. Moreover, GLOX34 has links to the following thematic programmes: Education for Justice (GLO-Z82), the Research and Trend Analysis Branch (RAB), the Terrorism Prevention Branch (TPB) of UNODC, Global E-Learning Programme (GLO-U61), Global CrimJust Programme (GLO-Z83), the Global Programme to combat organized and serious crime (GLO-T32), Global Cybercrime Programme, Global Programme against Money Laundering.

Linkage to UNODC strategic framework, UNDAFs and to Sustainable Development Goals

The Project/Programme contributes to the following Sustainable Development Goals, Targets and Performance Indicators:

Relevant UN Sustainable Development Goals	Target(s)	Indicator(s)
Goal 5: Achieve Gender Equality and empower all women and girls	5.1 - End all forms of discrimination against all women and girls everywhere 5.5 - Ensure women's full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life	5.1.1 5.5.1 5.5.2
Goal 16: Promote just, peaceful and inclusive societies	16.1 - Significantly reduce all forms of violence and related death rates everywhere 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	16.1.1; 16.1.2; 16.1.3; 16.1.4 16.4.2
Goal 17: Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development	17.18 - By 2020, enhance capacity-building support to developing countries, including for least developed countries and small island developing States, to increase significantly the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts 17.19 - By 2030, build on existing initiatives to develop measurements of progress on sustainable development that complement gross domestic product, and support statistical capacity-building in developing countries	

Through its integrated approach, GLOX34 contributes in particular to reducing and measuring the reduction of illicit arms flows, as referred to in SDG target 16.4. The Programme's efforts to support measuring of this target and its indicator 16.4.2, for which UNODC is co-custodian, are integrated in the Programme's Monitoring Illicit Arms Flows Initiative. To support the generation and collection of high-quality data on illicit arms flows, UNODC further engages with criminal justice actors in enhancing their capacities and procedures in recording firearms relevant instances. The data collected during these operational actions constitute the

foundation of any further statistical data collection and analysis, thereby contributing to the attainment of SDG targets 17.18 and 17.19.

By reducing the amount of illicitly trafficked firearms and advocating for resilience to armed violence, including through the Programme's support to the UNODC Education for Justice Initiative, GLOX34 further contributes to SDG target 16.1.

GLOX34 further aims to develop gender-responsive approaches to firearms trafficking and related forms of crime and encourages the participation of female practitioners in its activities. These gender-mainstreaming and women empowerment efforts contribute to the attainment of SDG targets 5.1 and 5.5.

2. DISBURSEMENT HISTORY

Time periods throughout the <u>life time</u> of the project	Total Approved Budget	Expenditure	Expenditure in %
03/2011 – 12/2021	USD 12,154,073.00	6,197,424.24	51%
Pre-UMOJA			
IMIS Pledges (03.2011-15.10.2015)			
ECC849	\$1,051,248.00		
ECC850	\$1,038,961.00		
ECC851	\$764,706.00		
ECC852			
ODA801 - FADP 02532	\$199,662.00	\$2,437,220.82	
UMOJA transition (SB-003867)			
M1-32FSB-000151 - UMOJA transition (SB-003867)		\$140,611.18	
Subtotal		\$2,577,832.00	84%

UMOJA (SB-005431)				
From active pledges				
S1-32FSB-000034 ODA801 (21.01.2015-30.06.2016)			\$27,029.46	85%
Grants				
M1-32FSB-000907 SWEDEN (26.01.2017-31.12.2017)		\$167,224.90	\$169,094.10	101%
M1-32FSB-000909 EU DG HOME (01.04.2017-31.10.2019)		\$1,590,360.51	\$1,259,687.32	79%
M1-32FSB-000942 GERMANY (17.03.2017-31.12.2017)		\$434,516.00	\$359,801.56	83%
M1-32FSB-000943 GERMANY (17.03.2017-31.12.2017)		\$214,790.00	\$152,997.28	71%
M1-32FSB-001170 GERMANY (01.11.2017-31.07.2018)		\$221,719.00	\$197,442.66	89%
M1-32FSB-001172 GERMANY (01.11.2017-31.07.2018)		\$109,963.00	\$72,758.37	66%
M1-32FSB-001215 ITALY (12.02.2018- 31.12.2018)		\$37,267.08	\$28,338.33	76%
M1-32FSB-001282 SWEDEN (21.05.2018-31.12.2050)		\$409,592.16	\$262,312.22	64%
M1-32FSB-001363 GERMANY (28.09.2018-31.12.2018)		\$189,370.00	\$112,445.14	59%
M1-32FSB-001366 GERMANY (01.01.2019-31.12.2019)		\$374,018.00	\$275,855.77	74%
M1-32FSB-001367 GERMANY (28.09.2018-31.12.2018)		\$185,000.00	\$105,309.96	57%
M1-32FSB-001368 GERMANY (01.01.2019-31.12.2019)		\$478,752.00	\$176,908.37	38%
M1-32FSB-001371 EU DEVCO (09.08.2018-09.08.2021)		\$3,803,907.50	\$500,110.23	13%
M1-32FSB-001498 ITALY (21.12.2018-31.12.2019)		\$22,753.13	\$20,705.30	91%
M1-32FSB-001562 SWEDEN (24.04.2019-31.12.2050)		\$524,383.85	\$39,407.74	7%

3. PURPOSE OF THE EVALUATION

The main purpose for the evaluation is to assess the methodological concept, the overall implementation and impact of GLOX 34. This will allow to consolidate achievements, help Programme management to better draw lessons learned, and enable Programme Management to inform the future development and implementation of projects. The main users of the evaluation results will be the Programme management team, programme staff, programme stakeholders as well as donors.

The following DAC criteria will be assessed during the evaluation: relevance, efficiency, effectiveness, impact and sustainability. In addition, established partnerships and cooperation as well as aspects of Human Rights and gender mainstreaming will be assessed. The evaluation will specifically assess how gender aspects have been mainstreamed into the project. Furthermore, lessons-learned and best practices will be identified, and recommendations based on the findings formulated.

4. SCOPE OF THE EVALUATION

Unit of analysis (full project/programme/ parts of the project/programme; etc.)	GLOX34 Programme (including individual projects)
Time period of the project/programme covered by the evaluation	03/2011 – 02/2020
Geographical coverage of the evaluation	Global with geographical focus in West and Central Africa, Latin America and Western Balkan regions.

5. KEY EVALUATION QUESTIONS

Evaluation Criteria

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as design, partnerships and cooperation, Human Rights, Gender Equality and Leaving No One Behind as well as lesson learned and best practices. The questions will be further refined by the Evaluation Team.

Design
<i>The Design of a project or programme measures the extent to which the logical framework approach was adopted.</i>
1. To what extent were the project funds sufficient to deliver activities and outputs and achieve the established programme objectives?
2. To what extent is the overall approach of the Programme apt to respond to the phenomenon of illicit manufacturing of and trafficking in firearms, their parts and components and ammunition? To what extent are GLOX34 activities and products delivered coherent with its outlined goals and objectives?
3. How much flexibility does the Programme design have in order to take into account national and regional characteristics and priorities?
4. To what extent does the Programme take synergies with other forms of crime into account? What areas of crime, if any, should the Programme further address in relation to firearms?
Relevance
<i>Relevance is the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor.</i>
5. To what extent is the Programme relevant to the needs of target countries/ regions and to international efforts in preventing and combatting the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition?
6. To what extent does the Programme take new and emerging threats related to illicit manufacturing and trafficking in firearms into account and contribute to addressing these issues?
7. To what extent are the outputs, outcomes and objectives of the Programme relevant to implementing the Sustainable Development Goals?
8. To what extent does the Programme inform donors of the situation in target countries and main regional and trans-regional trends regarding the illicit trafficking in firearms, their parts and components and ammunition?
Efficiency
<i>Efficiency measures the outputs - qualitative and quantitative - in relation to the inputs.</i>
9. What measures have been taken during the planning and implementation of Programme activities to ensure that resources (funds, expertise, staff time, etc) are effectively used?

To what extent did these measures contribute to improved timeliness and efficiency in the delivery of Programme outputs?
10. How well were the rules of project implementation established? How well was the implementation of activities and output delivery managed?
Effectiveness
<i>Effectiveness is a measure of the extent to which an aid activity attains its objectives.</i>
11. To what extent has the Programme as a whole and individual projects achieved, or are likely to achieve, its objective and expected results? Which were the respective hindering and facilitating factors?
12. To what extent has the involvement of partner organisations and institutes increased the effectiveness of the Programme?
Impact
<i>Impact is the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.</i>
13. To what extent has the Programme as a whole, and the individual projects, contributed, or are likely to contribute, to long-term impact and/or intermediate results (directly or indirectly) for its recipients and partners?
14. To what extent did the project/programme contribute, or is likely to contribute, to the achievement of Sustainable Development Goals 5, 16, and 17?
Sustainability
<i>Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.</i>
15. To what extent has the Programme as a whole, and the individual projects, contributed to long lasting changes and improvements in legislative and institutional frameworks and capacities of beneficiaries to address firearms trafficking and related forms of crime?
16. To what extent do project beneficiaries share the Programme's approach and have taken ownership of the joint efforts?
Partnerships and cooperation
<i>The evaluation assesses the partnerships and cooperation established during the project/programme as well as their functioning and value.</i>
17. To which extent did GLOX34 establish partnerships and cooperation practices with regional entities to support the development and implementation of regional strategies to address firearms issues? To what extent have such mechanisms and practices contributed to increased effectiveness of the different stakeholders involved?
18. To which extent did GLOX34 establish partnerships and cooperation practices with other partners (including UN agencies, CSOs, academia, etc.) to counter the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition and to contribute to the achievement of the SDGs?
Human Rights, Gender Equality, and Leaving No One Behind
<i>The evaluation needs to assess the mainstreaming throughout the project/programme of Human Rights, Gender Equality, and the dignity of individuals, i.e. vulnerable groups.</i>
Human Rights
19. To what extent were Human Rights considerations included in the project design and implementation?
20. How can the human-rights based approach be further strengthened in the Programme?
Gender Equality
21. To what extent were Gender Equality considerations included in the project design and implementation?
22. How can the Programme further work towards Gender Equality and mainstream a gender perspective into the different stages of the Programme cycle and all its thematic pillars?
Leaving No One Behind (optional)

23. To what extent were under-represented and vulnerable groups included in the project design and implementation?
<i>Lessons learned and best practices</i> <i>Lessons learned concern the learning experiences and insights that were gained throughout the project/ programme.</i>
24. To what extent have lessons learned from project implementation been cycled into the project?
25. What good and best practices emerged from the project implementation and what lessons can be learned from the project implementation in order to improve performance, results and effectiveness in the future?

6. EVALUATION METHODOLOGY

The methods used to collect and analyse data

This evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TOR and the availability of stakeholders. In all cases, the evaluation team is expected to analyse all relevant information sources, such as reports, programme documents, thematic programmes, internal review reports, programme files, evaluation reports (if available), financial reports and any other documents that may provide further evidence for triangulation, on which their conclusions will be based. The evaluation team is also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation. While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all parties identified as the key stakeholders of the project/ programme, the Core Learning Partners (CLP).

The present ToR provide basic information as regards to the methodology, which should not be understood as exhaustive. It is rather meant to guide the evaluation team in elaborating an effective, efficient, and appropriate evaluation methodology that should be proposed, explained and justified in the Inception Report.

In addition, the evaluation team will be asked to present a summarized methodology (including an evaluation matrix) in the Inception Report outlining the evaluation criteria, indicators, sources of information and methods of data collection. The inception report should outline how the evaluation will address the Global Programme as well as the individual projects within the Global Programme. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the UNODC Evaluation Policy, Norms and Standards.

While the evaluation team shall fine-tune the methodology for the evaluation in an Inception Report, a mixed-methods approach of qualitative and quantitative methods is mandatory due to its appropriateness to ensure a gender-sensitive, inclusive methodology. Special attention shall be paid to an unbiased and objective approach and the triangulation of sources, methods, data, and theories. Indeed, information stemming from secondary sources will be cross-checked and triangulated through data retrieved from primary research methods. Primary data collection methods need to be gender-sensitive as well as inclusive.

The credibility of the data collection and analysis are key to the evaluation. The limitations to the evaluation need to be identified and discussed by the evaluation team in the Inception Report, e.g. data constraints (such as missing baseline and monitoring data). Potential limitations as well as the chosen mitigating measures should be discussed.

When designing the evaluation data collection tools and instruments, the evaluation team needs to consider the analysis of certain relevant or innovative topics in the form of short case studies, analyses, etc. that would benefit the evaluation results.

The main elements of the evaluation process are the following:

- Preliminary desk review of all relevant project documentation, (Annex II of the evaluation ToR), as provided by the Project Manager and as further requested by the evaluation team, as well as relevant external documents (e.g. UNDAFs; SDGs; UN and global/regional strategies; etc.);
- Preparation and submission of an Inception Report (containing preliminary findings of the desk review, refined evaluation questions, data collection instruments, sampling strategy, limitations to the evaluation, and timetable) to IES for review and clearance before any field mission may take place;
- Initial meetings and interviews with the Project Manager and other UNODC staff as well as stakeholders during the field mission;
- Interviews (face-to-face or by telephone/skype), with key project stakeholders and beneficiaries, both individually and (as appropriate) in small groups/focus groups, as well as using surveys, questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation;
- Analysis of all available information;
- Preparation of the draft evaluation report (based on Guidelines for Evaluation Report and Template Report to be found on the IES website <http://www.unodc.org/unodc/en/evaluation/index.html>). The lead evaluator submits the draft report to the Project Manager for the review of factual errors (copying IES) and the Project Manager shares with IEU for review, comments and clearance. Subsequently the Project Manager shares the final draft report with all CLPs for comments.
- Preparation of the final evaluation report and an Evaluation Brief (2-pager), including full proofreading and editing. The evaluation team incorporates the necessary and requested changes and finalizes the evaluation report in accordance with the feedback received from IES, the Project Manager and CLPs. It further includes a PowerPoint presentation on final evaluation findings and recommendations;
- Presentation of final evaluation report with its findings and recommendations to the target audience, stakeholders etc. (in person or, if necessary, through Skype).
- In conducting the evaluation, the UNODC and the UNEG Evaluation Norms and Standards are to be taken into account. All tools, norms and templates to be mandatorily used in the evaluation process can be found on the IES website: <http://www.unodc.org/unodc/en/evaluation/index.html>.

The sources of data

The evaluation will utilize a mixture of primary and secondary sources of data. The primary sources include, among others, interviews with key stakeholders (face-to-face or by telephone), the use of surveys and questionnaires, field missions for case studies, focus group interviews, observation and other participatory techniques. Secondary data sources will include project documents and their revisions, progress and monitoring reports, external reports and strategies (e.g. UNDAFs; SDGs; country/regional/global strategies; etc.) and all other relevant documents, including visual information (e.g. eLearning, pictures, videos, etc.).

Desk Review

The evaluation team will perform a desk review of all existing documentation (please see the preliminary list of documents to be consulted in Annex II of the evaluation ToR). This list is however not to be regarded as exhaustive as additional documentation may be requested by the evaluation team. The evaluation team needs to ensure that sufficient external documentation is used for the desk review.

Phone interviews / face-to-face consultations

The evaluation team will conduct phone interviews / face-to-face consultations with identified individuals from the following groups of stakeholders:

- Member States (including recipients and donors);
- Other donors
- relevant international and regional organizations;
- Non-governmental organizations working with UNODC;
- UNODC management and staff at HQ and in the field;
- Core Learning Partners.

Questionnaire

A questionnaire (on-line) is to be developed and used in order to help collect the views of additional stakeholders (e.g. trainees, counterparts, partners, etc.), if deemed appropriate.

7. TIMEFRAME AND DELIVERABLES

<i>Duties</i>	<i>Time frame</i>	<i>Location</i>	<i>Deliverables</i>
Coordination call	18/11/2019	Home based	Hold coordination call with the IES and the GLOX34 team
Desk review and drafting of Inception Report	21/11/2019 – 6/12/2019 (12 working days for lead evaluator and 10 for team member)	Home base	Draft Inception report in line with UNODC evaluation norms and standards ³⁴
Review of draft Inception Report by IES	09/12/2019 – 13/12/2019 (1 week for IES review)		Comments on the draft Inception Report to the evaluation team
Incorporation of comments from IES (can entail various rounds of comments from IES)	16/12/2019 – 20/12/2019 (3 w/d for lead evaluator and 2 for team member and 1 week for IES review)	Home base	Revised draft Inception Report
Deliverable A: Final Inception Report in line with UNODC evaluation norms, standards, guidelines and templates	By 20/12/2019 (overall 15 w/d for lead evaluator and 12 for team member)		Final Inception report to be cleared by IES at least one week before the field mission can get started
Evaluation mission: briefing, interviews with staff at UNODC HQ/FO (including by phone/skype); observation; focus groups; presentation of preliminary observations (if applicable)	13/01/2020 – 28/02/2020 (16 w/d for lead evaluator and 16 w/d for team member)	Travel to: UNODC/HQ (Vienna); Niger (Niamey); Bosnia and Herzegovina (Sarajev0); Bolivia (La Paz)	Interviews and data collection

³⁴ https://www.unodc.org/unodc/en/evaluation/normative-tools.html#Inception_Report

Drafting of the evaluation report; submission to Project Management, cc IES;	02/03/2020 – 13/03/2020 (10 w/d for lead evaluator and 6 for team member)	Home base	Draft evaluation report
Review of Project Management for factual errors	16/03/2020– 25/03/2020 (<i>1 week for IES review</i>)		Comments on the draft evaluation report to the evaluation team
Presentation of evaluation preliminary results (to be discussed with IES before presentation) (tentatively between 17/03/2020 and 19/03/2020, potentially at the margins of the 7 th session of the Working Group on Firearms)	17/03/2020 (1 w/d for lead evaluator)	Potential travel to: HQ Vienna (Lead evaluator)	Presentation of preliminary evaluation results
Consideration of comments from the project manager	26/03/2020 – 27/03/2020 (2 w/d for lead evaluator and 1 for team member)	Home base	
Review of IES for quality assurance	30/03/2020 – 03/04/2020 (1 week for IES review)		
Incorporation of comments from IES (can entail various rounds of comments from IES)	06/04/2020 – 17/04/2020 (4 w/d for lead evaluator and 2 for team member) + <i>1 week for IES review</i>)	Home base	Revised draft evaluation report
Deliverable B: Draft Evaluation Report in line with UNODC evaluation norms, standards, guidelines and templates	By 17/04/2020 (overall 33 w/d for lead evaluator and 25 for team member)		Draft evaluation report, to be cleared by IES
IES to share draft evaluation report with Core Learning Partners for comments	20/04/2020 – 01/05/2020 (two weeks)		Comments of CLPs on the draft report

Consideration of comments from Core Learning Partners and preparation of draft Evaluation Brief	04/05/2020 – 06/05/2020 (2 w/d for lead evaluator and 1 for team member)	Home base	Revised draft evaluation report
Final review by IES; incorporation of comments and finalization of report and Evaluation Brief, including full proofreading and editing (can entail various rounds of comments from IES)	07/05/2020 – 15/05/2020 (3 w/d for lead evaluator and 1 for team member) + 1 week for IES review)	Home base	Revised draft evaluation report; draft Evaluation Brief
Draft management response and follow-up plan (Project Management)	18/05/2020 – 12/06/2020 (4 weeks for Project Management)		Inputs to presentation of evaluation results by Project Management
Presentation of evaluation results (to be reviewed and cleared by IES before presentation; potentially presentation at Side Event at the 29 th Session of the CCPCJ, planned on 18 - 22/05/2020).	18/05/2020 – 22/05/2020 (1 w/d for lead evaluator)	Potential travel to: HQ Vienna (Lead evaluator)	Presentation of evaluation results
Deliverable C: Final evaluation report; presentation of evaluation results; Evaluation Brief (2-pager)	By 22/05/2020 (overall 6 w/d for lead evaluator and 2 w/d for team member)		Final evaluation report; Evaluation Brief and presentation of evaluation results, both to be cleared by IES
Project Management: Finalise Evaluation (including Management Response) Follow-up Plan online evaluation application	By 19/06/2020		Final Evaluation Follow-up Plan to be cleared by IES
Project Management and IES: Disseminate final evaluation report	By 30/06/2020		Final evaluation report disseminated to internal and external stakeholders. Final evaluation report published on IES' website.
IES: facilitate the external Evaluation Quality	January 2021		

Assessment of the Final Report			
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The UNODC Independent Evaluation Section may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation-process.

8. EVALUATION TEAM COMPOSITION

Role	Number of consultants/ evaluators (national/international)	Specific expertise required
Team leader	1 international consultant	Evaluation methodology; knowledge of firearms/ organised crime issues desirable; fluency in French or Spanish required
Team members	1 international consultant	Firearms / Small Arms and Light Weapons issues; knowledge of evaluation methodologies desirable; fluency in French or Spanish required

At least one of the team members is required to have expertise in Gender Equality and Human Rights. The team needs to be able to work in English, French and Spanish. Knowledge of Portuguese and local languages of Bosnia and Herzegovina would be an asset.

The evaluators will not act as representatives of any party and must remain independent and impartial. The qualifications and responsibilities for each evaluator are specified in the respective job descriptions attached to these Terms of Reference (Annex 1). The evaluation team will report exclusively to the Chief or Deputy Chief of the UNODC Independent Evaluation Section, who are the exclusive clearing entity for all evaluation deliverables and products.

Absence of Conflict of Interest

According to UNODC rules, the evaluators must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project or theme under evaluation.

Furthermore, the evaluators shall respect and follow the UNEG Ethical Guidelines for conducting evaluations in a sensitive and ethical manner.

9. MANAGEMENT OF THE EVALUATION PROCESS

Roles and responsibilities of the Project/Programme Manager

The Project/Programme Manager is responsible for:

- *(for Independent Project Evaluations: managing the evaluation process)*
- drafting and finalizing the ToR,

- selecting Core Learning Partners (representing a balance of men, women and other marginalised groups) and informing them of their role,
- recruiting the evaluation team following clearance by IES, ensuring issued contracts ahead of the start of the evaluation process in line with the cleared ToR. In case of any delay, IES and the evaluation team are to be immediately notified,
- providing desk review materials (including data and information on men, women and other marginalised groups) to the evaluation team including the full ToR,
- liaising with the Core Learning Partners,
- reviewing the draft report for factual errors only,
- developing a follow-up plan for the usage of the evaluation results and recording of the implementation of the evaluation recommendations (to be updated once per year),
- disseminate the final evaluation report and communicate evaluation results to relevant stakeholders as well as facilitate the presentation of evaluation results;
- ensure that all payments related to the evaluation are fulfilled within 5 working days after IES's request - non-compliance by Project/Programme Management may result in the decision to discontinue the evaluation by IES.

The Project/Programme Manager will be in charge of **providing logistical support** to the evaluation team including arranging the field missions of the evaluation team, including but not limited to:

- All logistical arrangements for the travel (including travel details; DSA-payments; transportation; etc.)
- All logistical arrangement for the meetings/interviews/focus groups/etc., ensuring interview partners adequately represent men, women and other marginalised groups (including independent translator/interpreter if needed); set-up of interview schedules; arrangement of ad-hoc meetings as requested by the evaluation team; transportation from/to the interview venues; scheduling sufficient time for the interviews (around 45 minutes); ensuring that members of the evaluation team and the respective interviewees are present during the interviews; etc.)
- All logistical arrangements for the presentation of the evaluation results;
- Ensure timely payment of all fees/DSA/etc. (payments for the evaluation team must be released within 5 working days after the respective deliverable is cleared by IES).

Roles and responsibilities of the evaluation stakeholders

Members of the Core Learning Partnership (CLP) are identified by the project/programme managers. The CLPs are the main stakeholders, i.e. a limited number of those deemed as particularly relevant to be involved throughout the evaluation process, i.e. in reviewing and commenting on the TOR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. Stakeholders include all those to be invited to participate in the interviews and surveys, including the CLPs.

Roles and responsibilities of the Independent Evaluation Section

The Independent Evaluation Section (IES) provides mandatory normative tools, guidelines and templates to be used in the evaluation process. Please find the respective tools on the IES web site <http://www.unodc.org/unodc/en/evaluation/evaluation.html>. Furthermore, IES provides guidance, quality assurance and evaluation expertise, as well as interacts with the project manager and the evaluation team throughout the evaluation process. IES may change the evaluation process, timeline, approach, etc. as necessary at any point throughout the evaluation-process.

IES reviews, comments on and clears all steps and deliverables during the evaluation process: Terms of Reference; Selection of the evaluation team, Inception Report; Draft Evaluation Report; Final Evaluation Report and an Evaluation Brief; Evaluation Follow-up Plan. IES further publishes the final evaluation report and the Evaluation Brief on the UNODC website, as well as sends the final evaluation report to an external evaluation quality assurance provider. Moreover, IES may decide, in consultation with Project Management, to upgrade any Independent Project Evaluation to an In-Depth Evaluation considering e.g. an unforeseen higher involvement of IES staff in the evaluation process.

10. PAYMENT MODALITIES

The evaluation team will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The contracts are legally binding documents in which the evaluation team agrees to complete the deliverables by the set deadlines. Payment is correlated to deliverables and three instalments are typically foreseen:

1. The first payment upon clearance of the Inception Report (in line with UNODC evaluation norms, standards, guidelines and templates) by IES;
2. The second payment upon clearance of the Draft Evaluation Report (in line with UNODC norms, standards, evaluation guidelines and templates) by IES;
3. The third and final payment (i.e. the remainder of the fee) only after completion of the respective tasks, receipt of the final report, Evaluation Brief (in line with UNODC evaluation norms, standards, guidelines and templates) and clearance by IES, as well as presentation of final evaluation findings and recommendations.

75 percent of the daily subsistence allowance and terminals is paid in advance before travelling. The balance is paid after the travel has taken place, upon presentation of boarding passes and the completed travel claim forms.

IES is the sole entity to request payments to be released in relation to evaluation. Project/Programme Management must fulfil any such request within 5 working days to ensure the independence of this evaluation-process. Non-compliance by Project/Programme Management may result in the decision to discontinue the evaluation by IES.

ANNEX II: EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

Interview guide

The table below summarises the questions that will be raised by the evaluators in the context of semi-structured interviews. The questions will be formulated so as to help address each of the judgement criteria listed in the Evaluation Matrix. In essence, the following groups of people will be targeted for interview using this guide:

- Personnel of institutions targeted by the Programme and its constituent projects;
- Staff of UNODC (and other UN agencies) who have worked or contributed to the Programme and projects, at UNODC HQ, in Regional Offices or at country level;
- Experts who contributed to project activities (e.g. trainers, consultants involved in researching publications, etc.);
- Representatives of other partner organisations (donors, IGOs, diplomats, representatives of peacekeeping operations, etc.) with knowledge of the Programme or project, or who work in a similar area;
- Independent observers (NGO members, academics, journalists, etc.) who may not know the Programme or projects but may be able to talk about the situation of firearms trafficking more generally.

No single informant is expected to be able to respond to all the questions in the present guide. The evaluators will adapt the questions to the specific circumstances of individual informants.

The questions in the table below are designed on the assumption that most of the stakeholders interviewed will be senior officials at institutions targeted by the project (such as ministries, law enforcement agencies, justice sector institutions, etc.). A limited number of questions, marked with an asterisk (*) are aimed at UNODC staff and others (such as consultants and other outside experts) who were involved in the design of the project, or who are aware of its management processes.

Introduction

In line with UNODC Evaluation Policy and Norms and Standards, the external independent evaluation team (introduce each evaluator) has been commissioned to conduct a mid-term evaluation of the Global Firearms Programme: Countering illicit arms trafficking and its links to transnational organized crime and terrorism.

Evaluators summarise the objectives of the mid-term evaluation, noting that the ToR require the MTE to assess successes, including inter alia, measures for replication, up-scaling, or prioritization, as well as areas for improvement, including concrete proposals for consideration in the subsequent implementation of the project; it should generate recommendations for immediate action to be carried out during the remaining programme period, as well as more holistic, visionary and forward-looking longer-term recommendations that could be taken into account in further programming, including for a potential third phase of the global programme.

The evaluator further states that the interviewee's comments will be kept confidential. Only summaries and non-attributable assessments will be presented in the evaluation report.

Design

To what extent were you (was your organisation) involved in discussion of the GFP or the constituent project(s) that concern you/your organisation/your country?

Did the project design take into account your country's legislation, policies and practices in relation to the control of illicit firearms trafficking?

Was the project designed to help upgrade the skills and knowledge of the institutions involved in the control of illicit firearms trafficking?

* Were the project strategy and design consistent with UNODC priorities at national and regional levels?

Relevance

In your understanding of the Programme or its constituent project(s), was its strategy based on a sound analysis of the political and socio-economic strengths and weaknesses of the target countries, and of the underlying factors influencing trafficking flows?

* Did the Programme/projects strategy take account of the institutional development, mandate and capacities of the beneficiary institutions, as well as their needs in terms of capacity building, organisational development and mandate?

* Did the project regularly review its strategy in the light of emerging issues affecting firearms trafficking globally and in particular regions?

Effectiveness

Does the Programme/project(s) help achieve the planned outcomes? Could you give an example of achievement in this regard?

Does the Programme/project(s) help enhance the institutional and operational capacity of the beneficiary institutions, and improve inter-agency cooperation in the field of firearms control? Example?

Are the organisation and implementation of Programme/project activities such that they amount to tangible support to the target country's governments in relation to firearms control? Example?

Is there evidence of enhanced inter-agency coordination, improved research capacity, and strengthened legal drafting among partner institutions/organisations? Example?

Is there evidence of improved institutional development strategies, enhanced response capabilities, law enforcement and intelligence/investigation capabilities, among partner institutions/organisations? Example?

Does the Programme/projects, as implemented, help beneficiaries to address their needs in relation to the fight against firearms trafficking? Example?

Is the Programme/projects' effectiveness enhanced by sound intervention logic, underpinned by appropriate performance indicators? Example?

* Is the Programme/projects' effectiveness underpinned by a sound political economy analysis and by an appropriate analysis of risks and mitigation strategies? Examples?

<p>Efficiency</p> <p>* Does the Programme/project make good use of the expertise available to UNODC, particularly with regard to research and training, and does it take into account lessons learned and good practices developed by other UNODC projects?</p> <p>* Is the project team able to manage the project in such a way as to ensure the timely delivery of planned outputs and activities?</p> <p>Do institutional arrangements help ensure that project management mechanisms put in place by UNODC are appropriate to deliver management that is timely, flexible and accountable?</p> <p>* Is the budget designed and implemented in a way that enables it to meet its objectives?</p> <p>* Is there was a reasonable relationship between Programme/project inputs and outputs?</p> <p>* Do institutional arrangements promote effective Programme/project management and accountability, including through appropriate monitoring and evaluation processes?</p>
<p>Impact</p> <p>Do the Programme/project activities and outputs improve policy-making and practices in relation to the control of firearms trafficking?</p> <p>Do the Programme/project activities and outputs enhance coordination among institutions at working/expert level?</p> <p>Does the project contribute to changes in the approach that the Government and other stakeholders take to control of firearms trafficking?</p> <p>Does the project contribute to changed attitudes on the control of firearms trafficking on the part of officials, particularly in relation to Human Rights and Gender Equality?</p>
<p>Sustainability</p> <p>* Does the project design include an exit strategy that identifies processes and approaches to foster a continued impetus towards maintaining the momentum achieved by activities, beyond the end of interventions at national level?</p> <p>Are the stakeholders in the project willing and able to follow up on project activities, where applicable?</p> <p>Are the policies, methodologies and policy approaches developed during the Programme/project period likely to be continued beyond its end?</p> <p>Do the training and other capacity building activities help ensure that the beneficiary institutions maintain and develop their activities and continue to enhance coordination and cooperation with each other?</p>
<p>Human Rights and Gender Equality</p> <p>Are principles such as transparency, accountability, and equality before the law, non-discrimination and participation taken into account in Programme/project activities, including technical advice given?</p> <p>Does the project contribute to mitigating the gender impact of firearms trafficking?</p> <p>Does the project encourage the partners to adopt more gender-responsive approaches in their respective field of work?</p>

UNODC added value/partnerships

* To what extent is UNODC able to take advantage of its unique position and comparative advantage to achieve results that could not be achieved with support from other donors?

Is UNODC able to achieve results that alternative implementers would find more difficult to achieve?

* Does the project design make good use of UNODC's status as an international, impartial actor?

ANNEX III: DESK REVIEW LIST

UNODC DOCUMENTS

GLOX34 documents (23)		
	Projects and revisions	GLOX34 Project Document 2010; Project revisions 2014, 2015, 2017 and 2018 (5)
	Log Frame	Log Frame 2018 (1)
	Annual Progress Report GLOX34	2011, 2012, 2013, 2014, 2015, 2016, 2017, 2018 (8)
	Activity reports CTOC COP and Working Group	2012, 2014, 2015, 2016, 2017 e 2018 (9)
DG DEVCO (2011-2015) (5)		
	Project Document	Final Project Document and Annex with the original budget (2)
	Narrative and Financial Reports	Narrative Report and Financial Report (2011-2015) (2)
	Evaluation report of the EU	European Commission – SALW Mid-term review – March 2016 (1)
UNSCAR (9)		
	Project documents	Project Application Form, No-cost extension agreement (2015), Log Frame (3)
	Donor Reports	Interim and Final Substantive Reports, Financial Reports 2015 and 2016 (6)
Germany – Sahel (19)		
<i>March 2017 – July 2018</i>	Project documents	Proposal, Log Frame, Original Budget and extension request (4)
<i>March 2017 – July 2018</i>	Donor Reports	Interim Quarterly Reports and Final Report (6)
<i>August 2018 – December 2019</i>	Project documents	Proposal, Log Frame and Original Budget (3)
<i>August 2018 – December 2019</i>	Donor Reports	Interim Quarterly Reports 2018-2019 (3)
	Kafo Operation	Final Outcomes presentation: Mali, Burkina Faso and Côte d'Ivoire (3)
Germany – Western Balkan (16)		
<i>March 2017 – July 2018</i>	Project Documents	Proposal, Revision (extension request), Budget (3)
<i>March 2017 – July 2018</i>	Donor Reports	Substantive Interim reports 2017-2018 and Final Reports Financial Reports (7)
<i>August 2018 – December 2019</i>	Project Documents	Proposal, Work Plan and Budget (3)
<i>August 2018 – December 2019</i>	Donor Reports	Quarterly reports 2018-2019 (3)

DG-Home (7)		
	Project Documents	Proposal and Agreement, Revised Contract, No-cost extension (3)
	Donor reports	Interim and Final Reports; Document with status update (oct/2018) and Document with Major Developments (June/2018) (4)
DG-DEVCO (2018-2021) (4)		
	Project Document	Project Proposal, Agreement and Budget (2)
	Donor Reports	Annual Substantive Report (aug/2018-aug/2019) and Financial Report (2)
XAMZ17 (Sahel) (5)		
	Donor Reports	Annual reports 2014-2018 (5)
E4J – Education for Justice (3)		
	Project Document	Workplan (1)
GloZ82	Progress reports	Annual Progress Reports 2017-2018 (2)
Other internal documents analysed (12)		
	Training Modules Curricula	Indicative list ('marking, recordkeeping and traceability, 'investigating and prosecuting the trafficking of firearms', 'practical training on detection of firearms, ammunition and explosives at land border crossing points') (6)
	UNODC and GFP Organizational Chart	(2)
	Countries Overview for the field trips conducted.	Burkina Faso, Niger, Argentina and Bosnia and Herzegovina (4)

Total number of UNODC documents reviewed: 103

EXTERNAL DOCUMENTS

External documents analysed (10)	
Ratification Kit Booklet	Available at: https://www.unodc.org/documents/organized-crime/Firearms/12-56168_Firearm_booklet_ebook.pdf
Firearms Protocol and the Arms Trade Treaty: Divergence or Complementarity? (UNSCAR)	Available at: https://www.unodc.org/documents/firearms-protocol/SynergiesPaper.pdf
Comparative Analysis of Global Instruments on Firearms and other Conventional Arms: Synergies for Implementation (UNSCAR)	Available at: https://www.unodc.org/documents/firearms-protocol/ComparativeAnalysisPaper.pdf
Model Law against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition	Available at: https://www.unodc.org/documents/firearms-protocol/14-08330_Firearms_revised_ebook.pdf
Legislative guide for the implementation of the Firearms Protocol	Available at: https://www.unodc.org/pdf/crime/legislative_guides/05%20Legislative%20guide_Firearms%20Protocol.pdf
Country Factsheets	Available at: https://www.unodc.org/documents/firearms-protocol/Country_Factsheet_WEB.pdf

UNODC Study on Firearms – 2015	Available at: https://www.unodc.org/documents/firearms-protocol/UNODC_Study_on_Firearms_WEB.pdf
UNODC – Global Study on Firearms Trafficking 2020	Available at: https://www.unodc.org/documents/data-and-analysis/Firearms/2020_REPORT_Global_Study_on_Firearms_Trafficking_2020_web.pdf
“The Prevalence of Firearms in the Criminal Dynamics of the Province of Cordoba”	
Behind the curtain: The illicit trade of firearms, explosives and ammunition on the dark web. RAND Corporation. (2017)	Available at: https://www.rand.org/content/dam/rand/pubs/research_reports/RR2000/RR2091/RAND_RR2091.pdf

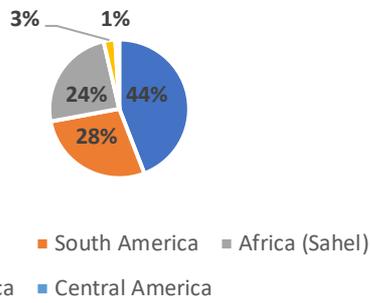
Total number of external documents reviewed: 10

ANNEX IV: STAKEHOLDERS CONTACTED DURING THE EVALUATION

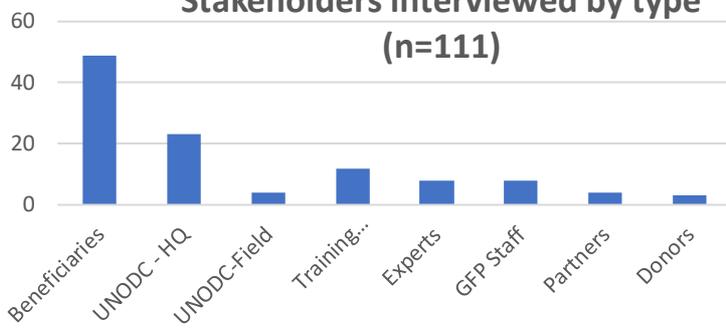
Number of interviewees	Organisation	Type of stakeholder	Sex disaggregated data	Country
29	UNODC HQ	Staff, Managers	Male: 13 Female: 16	Austria
5	UNODC Field	Staff	Male: 4 Female: 1	West Africa, South America, West Balkans
6	Donor govt. representatives	Government	Male: 3 Female: 3	Various
12	National institutions	Government	Male: 9 Female: 3	Bosnia and Herzegovina
24	National/local institutions	Government, Academia	Male: 22 Female: 2	Argentina
16	National institutions	Government	Male: 15 Female: 1	Burkina Faso
8	National institutions	Government	Male: 7 Female: 1	Niger
11	Various	SALW experts	Male: 9 Female: 2	Various
Total: 111			Male: 82 Female: 29	

Note: A stakeholder could be a Civil Society Organisation; Project/Programme implementer; Government recipient; Donor; Academia/Research institute; etc.

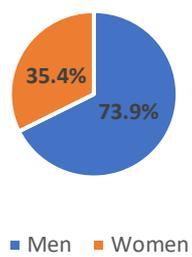
Stakeholders interviewed by Region (n=111)



Stakeholders interviewed by type (n=111)



Stakeholders interviewed by Gender (n = 111)



ANNEX V: REVIEW OF DG HOME PROJECT

Project “Supporting Global Data Collection and Analysis on Firearms Trafficking and Fostering Cooperation and Information Sharing, in particular Among Countries along Major Trafficking Routes to/from the EU”: 01 April 2017 – 31 October 2019.

The project

The main objective of the project “Supporting Global Data Collection and Analysis on Firearms Trafficking and Fostering Cooperation and Information Sharing, in particular Among Countries along Major Trafficking Routes to/from the EU“, which was implemented by the GFP from April 2017 to October 2019 with support of the European Commission’s Directorate-General for Migration and Home Affairs (DG Home) was “to strengthen collection and analysis of statistical data and information on firearms trafficking at national, regional and international levels with a view to: monitoring and mapping illicit firearms trafficking flows, foster effective cooperation in tracing and information sharing, and combat illicit firearms trafficking and related forms of organized crime (...)”. There were three specific objectives, each involving a series of activities:

- Development of tools (data collection methodology for data collection and analysis): this area involved activities such as expert group meetings, methodology development and dissemination to participating countries, statistical reporting guidelines, etc.
- Technical assistance: this involved capacity development to collect and analyse crime- and firearms-related data at national and international levels, with activities such as support to the establishment of national focal points, regional workshops, questionnaires and country visits.
- Research and analysis: this aimed at generating knowledge about trafficking flows and modalities, and links to other crimes – activities included compilation of information provided, support to data collection, development of regional and thematic research briefs, etc.

Evaluation findings

Design

- The project design was in line with the overall GFP approach, in that it addressed one of the key “pillars” of the programme. The design drew on the experience of the 2015 Study on Firearms, which was the first worldwide study involving Member States in the collection and analysis of data on illicit firearms trafficking and related issues. In line with the conclusion of that original study, the project was designed to fill substantial gaps in knowledge, which the 2015 study had noted.
- The design of the project was in line with the financial and human resources available. The project made appropriate use of UNODC’s in-house research and data management expertise. The project design was also in line with the overall GFP logframe, where it addressed Outcome 5 and the three related outputs. Importantly, the project also contributed to the monitoring of the achievement of SDG16.4.
- The project design is also in line with the overall programme objective of countering illicit trafficking in firearms, by helping to build data collection and analysis capacity at country level and by compiling and analysing data at the international level. This activity also contributes to building the capacity of

national law enforcement agencies to fight illicit trafficking, in the sense that information is sought from focal point and may be shared with relevant national stakeholders (such as National Commissions) when it is submitted to UNODC.

- Feedback from interviews suggests possible ways for improving the design of the project. In this regard, it is recommended that opportunities be sought to connect more explicitly future research/analysis efforts with other GFP “pillars”, so as to exploit synergies where possible – for example by combining training on data collection with other training courses undertaken by the GFP.
- In addition, building upon the results of the 2015 and 2020 studies (which suggest that illicit firearm trafficking mostly takes place within a country’s immediate neighbourhood), future iterations of the study could benefit of addressing this issue in more detail, so as to identify ways for national law enforcement agencies to strengthen bilateral coordination against such patterns.
- Other possible areas of further research/analysis are the parallels between trafficking in firearms and trafficking in people, and other forms of smuggling (drugs, etc); as well as financial flows related to firearms and the related role of the “dark net”³⁵.

Relevance

- The project was relevant, as it contributed to the overall strategy of the GFP by providing support to the key objective of enhancing knowledge and analysis about illicit firearms trafficking flows. Embedded in the multi-project structure of the GFP, the focus of the project on global data collection and analysis makes it one key contributor to the global dimension of the Programme. The relevance of the project was enhanced by its sound methodological approach, based on lessons learned from previous data collection undertaken by the GFP team.
- The project’s relevance to Member States was further enhanced by its capacity building dimension (through the technical advice component) and the fact that it was able to feed research outcomes and analysis back to the national level, through the network of focal points.
- It is also important to note that this data collection project is unique and that UNODC is the best placed international organisation that is in a position to compile this information, as it is the custodian of UNTOC. Moreover, UNODC and the United Nations Office for Disarmament Affairs (UNODA), both co-custodians for monitoring indicator 16.4.2 of the Sustainable Development Agenda, agreed that “UNODC, with its dedicated Global Firearms Programme, its Research and Trend Analysis Branch and its strong field presence, will continue to lead in developing annual 16.4.2 data collection, data processing, and submission to the Statistical Commission”.³⁶

Efficiency

- The project was efficient in the sense that a number of planned activities were carried out, funds were used as originally intended and, to the evaluators’ knowledge, there were no cost overruns. Apart from staff costs, the main areas of spending were related to logistics: workshops and technical assistance missions.

³⁵ The GFP team informed that these two topics will be included in the complementary research under DEVCO.

³⁶ See the joint non-paper by UNODA and UNODC on SDG indicator 16.4.2, which was first presented in June 2018 during the third review conference on the UN Programme of Action on SALW and which is available at: https://www.unodc.org/documents/treaties/UNTOC/COP/Session_9/Other_documentation/ODA-UNODC_2018_joint_note_on_16.4.pdf

- Project management was satisfactory in the sense that the GFP team implemented activities in a relatively timely manner. Despite some delays, which were caused mainly by staff shortages and, secondarily, by difficulties in coordinating workshops with participants from many countries, the main elements of the project were delivered, and the Global Study on Firearms Trafficking 2020 published in July 2020³⁷. The compilation of data at national level also took longer than expected. Nevertheless, these delays did not hamper the overall quality of the outputs.

Effectiveness

- The project was effective in the sense that the three project specific objectives were largely achieved, as demonstrated by the amount of information compiled, the analysis developed and the feedback provided by country-level stakeholders who were involved in project activities such as training on data collection. A clear improvement was the increased capacity to collect and analyse data for the global study on firearms trafficking (81 countries in 2020, compared to 48 countries in 2015).
- One important challenge addressed by the GFP team was the limited capacity of Member States to compile and keep updating the information required under the questionnaire. Interviewees reported that, since the required information is not always centralised electronically at the national level and the compilation of data is resource intensive, the responses of many countries to the questionnaire were either incomplete or not up-to-date. This was also identified during the expert group meeting that was convened to develop the data collection methodology.
- The GFP team effectively addressed data collection and analysis constraints of Member States by supporting the establishment of national focal points³⁸, and by providing national focal points as well as National Commissions with technical assistance and advice on data collection and analysis. For this purpose, the project held regional meetings with Member States of Africa (September 2017), Latin America (November 2017), Europe (January 2018), Western Balkan and neighbouring region (July 2018), and Middle East and North Africa (February 2019), as well as a cross-regional meeting on the “Illicit Trafficking in Firearms, their Parts and Components and Ammunition from, to and across the European Union” (October 2019). The GFP team should continue building on this positive experience in the provision of technical assistance and training to Member States as to keep developing their capacity to respond to the questionnaire.
- The project may benefit of further adapting the questionnaire in order to seek opportunities for simplifying it in order to increase survey response and completion rates. This process could benefit of closer cooperation with other projects –for instance, by pilot testing questionnaire adaptations with participants in other GFP training sessions –building on the experience of the first study.

Impact

- The road to impact is visible in the comprehensive data collection and analysis about trafficking in illicit firearms, as well as by the increased capacity of Member States to respond to the questionnaire. This is shown by the impressive improvement in the number of respondents (68%), as well as in the quantity and relevance of the information shared.
- The information provided by the Global Study on Firearms Trafficking 2020 is more abundant and useful than in the previous edition –for instance, one chapter addressed the nature of "firearms trafficking", by using data of firearms in illicit markets and modalities of trafficking. These are

³⁷ A draft report was shared with the EU in October 2019 and the final edited version was published in July 2020 (See: <https://www.unodc.org/unodc/en/firearms-protocol/news/2020/Jan/high-level-virtual-launching-event-of-the-global-study-on-firearms-trafficking-2020.html>).

³⁸ Project updates show that, as of October 2018, 56 countries had appointed focal points for the Illicit Arms Flows Questionnaire (IAFQ).

valuable pieces of information for comparing and understanding illegal markets globally that were not previously available to the broad community of practitioners and the general public.

- Another aspect where the impact of the project is visible is that, according to interviewees, the UNODC questionnaire has influenced the way in which countries compile and manage data on firearms trafficking. For example, a decree was issued in Brazil to demand that each state compile data on firearms seizures and transmit the information to the federal level – this requirement was reported to have come in direct response to the UNODC questionnaire.

Sustainability

- The project has clear elements of sustainability:
 - The Illicit Arms Flows Questionnaire (IAFQ) has been developed and extensively tested; it is a tool available for use beyond the project period, and there is a clear commitment by the GFP team and national focal points to continue using it. Similarly, the GFP team has developed tools such as the “Guiding templates for firearms related investigations” that are available to be used for further improvements and harmonisation of firearms data collection processes over time among institutions and countries.
 - The technical advice component of the project has provided national focal points with relevant skills to collect and analyse data on firearms trafficking. These skills are likely to continue to be used over time, although staff turnover in beneficiary institutions may limit this aspect of sustainability, as trained personnel move to different duties.
 - The 2020 study itself is a tool that will be of use to national stakeholders and the GFP team in the coming period. Overall, the project has contributed to building the capacity of national institutions to analyse and address the issue of firearms trafficking. The project’s sustainability is all the more important since no other organisation is in a position to conduct data gathering on a worldwide scale, which UNODC can do thanks to the network of focal points.
- The difficulties experienced by some countries to respond to the questionnaire may pose a sustainability risk if it lessens their interest in compiling and sharing relevant information. At the same time, the data gathering exercise is essential to help shape the other pillars of the programme, including in terms of country prioritisation.
- To ensure that relevant information is compiled on an annual basis, while also limiting the demands on focal points, the GFP should consider developing a stripped-down questionnaire for annual updates, alongside a full-length one every three years.

Partnerships and cooperation

- The project involved partnerships with other international institutions and NGOs. Notably, the partnership with UNODA and WCO allowed to further enrich the dataset for the elaboration of the global study on firearms. In addition, partner organisations were involved in the development of different tools (e.g., IFAQ and the guiding principles).
- The GFP team established cooperation linkages with NGOs and research institutes, such as Small Arms Survey, Conflict Armament Research and the Flemish Peace Institute, which were invited to regional meetings; and a number of regional stakeholders were informed about the project – including SEESAC in Southeast Europe, the AU, African economic communities, OAS, EUROPOL, EMPACT Firearms and EFE, the European Firearms Expert Network etc.

- Future iterations of the study should probably involve further consultations with relevant international organisations dealing with firearms trafficking and related crimes (including for example trafficking in people... Similarly, the project could benefit of seeking opportunities for further collaboration with civil society organisations working on illicit firearms trafficking issues, with a view to harnessing their research and analysis expertise in the field.

Human Rights, Gender Equality, Leaving No One Behind

- The questionnaire sought to collect gender-disaggregated data on people brought into formal contact with police, prosecuted or arrested for firearms trafficking. Feedback from interviews suggests that the project may benefit of strengthening the focus of research on the specific role of women in the context of illicit firearms trafficking.
- It would be relevant in future to seek to analyse the Human Rights impact of firearms trafficking, particularly on the exercise of economic, social and cultural rights – in the context of the Covid-19 pandemic, the impact of trafficking on states' ability to deliver health services, for example, may be a relevant topic of research. The GFP should seek funding opportunities in this regard.

Lessons learned

- The project clearly integrated lessons learned from the 2015 study: the questionnaire became more complete, and the range of Member States that provided information was broadened, thanks in part to the technical assistance and capacity building components of the project.
- One common denominator identified by the GFP team during the implementation of the project is that this global monitoring initiative represents a needed, but challenging initiative for many countries, which require adjustments and in depth understanding of the topic and the questionnaire. Key additional elements of success are awareness raising, training and capacity building, technical support and political buy in.
- The involvement of UNODC's in-house research and statistical experts helped ensure that the project's approach met relevant methodological standards (even though this may not have been the case in every country providing data).
- It is important to build on the 2015 and 2020 studies, and the GFP should prepare to develop a further round of data gathering and analysis. Additional funds that would allow a new round of technical assistance in data collection by the states and elaboration of a new edition of the Global Study would be a decisive contribution to the field.

ANNEX VI. REVIEW OF SAHEL PROJECTS

Projects “Countering transnational illicit arms trafficking in the Sahel and Maghreb sub regions” (March 2017 – July 2018) and “Countering transnational illicit arms trafficking in the Sahel sub region and its links to terrorist and organized crime threats” (August 2018 – December 2019)

Background

The two projects of the Global Firearms Programme (GFP) that focus on the Sahel region are:

- “Countering transnational illicit arms trafficking in the Sahel and Maghreb sub regions” – implemented from March 2017 to July 2018); and
- “Countering transnational illicit arms trafficking in the Sahel sub region and its links to terrorist and organized crime threats” –implemented from August 2018 to December 2019).

The projects received funding from Germany, and focused on the harmonisation of policy and legislative frameworks and on the development of capacity of criminal justice institutions and border management services in the region. In particular, the GFP team carried out the following types of activities:

- National and sub-regional workshops (on legal harmonisation, data collection, etc.);
- Advice on legislation and regulations;
- Training needs assessments, training courses and e-learning platform;
- Information material (good practices, etc.);
- Newsletter and information-sharing platform. The first phase of the project also included activities to foster regional and inter-regional cooperation and to monitor trafficking flows.

The first project was originally intended to end in December 2017. As it was prolonged until July 2018 and the second project started in August 2018, there was no time gap between the two projects.

Evaluation findings

Design

- The projects’ design was in line with the overall GFP approach, as well as with earlier efforts by the EU in the region and UNODC’s Sahel programme (XAMZ17). The aimed outcomes of the projects are aligned with the five-pillar structure of the GFP –with a focus in 2018-2019 on Pillars 1 and 2.
- Project proposals demonstrate GFP’s awareness of regional trends that have an impact on firearms trafficking, such as the situation in Libya and the rise of armed groups across the Sahel. The proposals also referred to action taken by other institutions such as the AU and other UN agencies.
- The logframe appended to the project proposal for 2018-2019 describes the intervention logic of the project. Although the document describes the expected impact and outcomes of project, and identifies results at the output and at the outcome levels, it does not have a results-based structure, as indicators are not SMART (Specific, Measurable, Achievable, Relevant and Time-bound) and no baseline and target values are provided

- The projects' budgets covered staff costs as well as the cost of meeting/travel. This was in line with the fact that most project activities consisted in international/regional meetings aimed at holding training sessions, seminars and sub-regional consultations. The number of countries targeted by the projects was high in view of the human resources available at HQ and field level.
- Future phases of the project, or similar regional/sub-regional GFP projects, could benefit of further developing its results orientation, by defining SMART indicators, in line with UNODC's results-based management handbook. This would facilitate monitoring progress towards the achievement project goals at the outcome level, beyond the current focus on activities and products of progress reports. Similarly, future project proposals and progress reports could benefit of more explicitly considering the specificities of context in relation with the activities undertaken. Given human resource constraints, country prioritisation should take into consideration the specific situation in each region. .

Relevance

- The projects were relevant in that they contributed to the overall strategy of the GFP, providing support to four (2017-18) and subsequently two (2018-19) of the GFP pillars.
- The project's relevance to the target sub-regions lay mainly in its capacity building dimension, implemented through training sessions and sub-regional and other seminars and workshops.
- Operation KAFO is considered one of the most relevant activities conducted by the GFP, bringing together, for the first time, police and customs officers and prosecutors from neighbouring countries, in a joint operational initiative tackling illicit firearms and in related joint preparatory and training workshop on the detection and investigation of trafficked firearms.
- The legal and regulatory dimension of the project (technical advice on legislation and seminars with prosecutors, judges and law enforcement personnel) were also relevant in that they helped raise awareness of the legal issues surrounding the fight against trafficking.
- The security situation in the Sahel due to violent extremism and cross-border armed groups was uncondusive to the adoption of anti-trafficking legislation because relevant officials were focusing on different priorities. However, this did not hamper the relevance of the project.
- The projects worked closely with relevant officials and national commissions. Further relevance could be increased by involving specialist civil society organisations, as applicable needs are identified across the programme pillars.
- The projects could also gain relevance by liaising more closely with the numerous international peace and security interventions in the Sahel sub-region (This would require the GFP to continue to increase the presence of national project officers in the region, as has happened in Niger).

Efficiency

- The projects were efficient in the sense that funds were mostly used as originally intended and, there were no cost overruns. Apart from staff costs, the main areas of spending were related to logistics: workshops and training sessions.
- Project management was satisfactory in the sense that the GFP team implemented activities in a timely manner.
- Efficiency could be improved in the case of sub-regional projects by locating more project staff in the target countries.

Effectiveness

- The projects were effective in the sense that many of the planned activities were implemented and that progress was achieved, according to interviewees, towards the planned outcomes. A number of achievements documented in progress reports and triangulated with interviewees show that the projects were effective in the fulfilment of its aimed objectives:
 - The project developed a standardized methodology for international data collection and analysis on firearms trafficking, initiated by the introduction of the Illicit Arms Flows Questionnaire (IAFQ) to participatory countries. **In September 2017, a regional workshop was conducted, aimed at enhancing the capacity of GFP counterparts to collect and analyse crime and firearms related data at national and international levels.** Feedback from Member States concluded that their knowledge on data collection and techniques had been systemically improved, and that national capacities were developing through targeted programme activities.
- One of the most effective initiatives was Operation KAFO, a cross-border operation that brought together police, customs, border agents and prosecutors from Burkina Faso, Côte d'Ivoire and Mali. Focusing on the detection and investigation of firearms trafficking, it involved hands-on practical training that, as an added value, drew clear linkages between firearms and other forms of crime, and ultimately, terrorism. Although the number of resulting seizures was low, the operation was praised for raising awareness of the firearms issue, building trust, and reinforcing the value of cross border cooperation, informational sharing and best practices between regional partners. KAFO also included training by INTERPOL on the use of its iArms database, although still not fully accessible to participants.



- (Pictures provided by the GFP team of the execution of KAFO Operation – November, 2019)
- Training sessions on firearms detection, investigation and prosecution were held during the two project periods. Particular value was noted in terms of criminal justice reform, creating an understanding of the need to interconnect efforts, from law enforcement agencies on the ground, up to, and including the judiciary. These sessions were widely praised by participants interviewed, who were appreciative of the practical advice given and of the quality and experience of trainers and facilitators brought to the sessions by UNODC.
- Input was provided on draft arms control laws in Burkina Faso, Chad, Côte d'Ivoire, Mali and Niger, according to project reports. At the time of the visits to Burkina Faso and Niger, draft legislation existed in both countries but had yet to be adopted. In 2019, Burkina Faso adopted a Law on the Implementation of the Arms Trade Treaty, which includes some of the criminalization provisions recommended by the Programme. In Mali, as of January 2021 the draft law on firearms is being considered by the National Transition Council and may be adopted in 2021. A draft bill has reportedly been submitted to the National Assembly in Côte d'Ivoire, but may not be tabled during the current legislative period, ending in December 2020. Draft legislation in Chad and Mali had yet to be submitted to the respective legislatures at the time of the present review. In Chad, the project held a

formal presentation of the draft legislation in May 2018 to the Minister of Security and other relevant institutions. However, this did not lead to the law's early adoption. In Mali, as of January 2021 the draft law on firearms is being considered by the National Transition Council and may be adopted in 2021.

- It was noted across interviews that there is scope for further coordination with G5 Sahel, which is currently engaged in cross-border operations targeting violent extremism, and therefore has an interest in the fight against firearms trafficking³⁹.

Impact

Impact must be assessed within the context of the relatively large number of projects related to security sector reform in the Sahel region, which can make it somewhat difficult to identify impact specifically attributable to the present projects. Nevertheless, elements of impact are clearly visible in project achievements, especially in terms of increased awareness, perspective and prioritization of firearms trafficking among national practitioners and stakeholders, and improved regional coordination.

Member state awareness and prioritization of the issue of firearms trafficking has been created by the GFP, running in parallel with the pressing need for security sector reform by governments in the Sahel region, due to increased levels of terrorism. However, impact can be noted as follows:

- National legislation reform implementing relevant provisions of UNTOC and the Firearms Protocol; Burkina Faso, Central African Republic, Niger, Senegal have adopted relevant legislation, or draft bills, after seeking legal advice and consultation from the GFP.
- Member State shift in awareness; interviewees in Burkina Faso and Niger who had taken part in project activities demonstrated an improved understanding of the firearms trafficking issue, which they attributed to their participation in project activities
- Regional coordination: through exposure to international standards, participation in workshops and in exercises such as KAFO, interviewees noted that a consensus was developed around the need for more sub-regional coordination in the fight against trafficking.

Future projects' impact could be enhanced by a clearer identification of each country's needs and closer monitoring of local developments. In G5 Sahel countries, a focus on strengthening currently limited coordination with military planners is encouraged, as deemed appropriate and possible.

³⁹ The GFP team informed that links have been established with G5 in this regard.

Sustainability

In the Sahel region, the challenge of violent extremism hampers sustainability because political priorities in G5 Sahel countries have focused on a military response. Nevertheless, there are elements of sustainability stemming from project activities. These include:

- The support in preparing legislative assessment and advice, draft laws and regulations providing a framework for control regimes on firearms and criminal justice response to illegal trafficking. Whenever this support is converted into laws or regulations approved or amended, the programme increases the chances of more sustainable results that go beyond the limits of a political term.
- The willingness of law enforcement and criminal justice actors (police, gendarmerie, customs, judiciary) to embrace the acquisition on new capacities, to address the issue of firearms trafficking, and to work with GFP to disseminate good practices and advance the domestic agenda of legislative reform, firearms marking, prosecution of traffickers and training of border and law enforcement officers.
- Future projects could enhance their sustainability by exploring exit strategies that would identify specific benefits that would continue beyond the project period (OECD definition). This could help project teams prioritise activities so that these tangible benefits are achieved.

Partnerships and communications

- The projects were mindful of the activities of other intergovernmental actors such as INTERPOL and UNDP. There were instances of collaboration, such as the KAFO operation and joint interactions with ECOWAS and the AU, as well as with relevant UNODC projects present on the ground, like AIRCOP.
- The project staff in the field were also in touch with relevant NGOs such as Small Arms Survey, but there were some limited attempts to join forces or coordinate activities. This raised the concern that some activities might overlap, such as promoting and supporting data collection and identification of national indicators to monitor SDG 16.4. Moreover, coordination took also place with relevant other actors, such as UNREC, in order to avoid duplication in areas like the delivery of storage equipment for seized weapons, and marking machines. While the evaluators were not aware of such overlaps having taken place, they were told of requests for such items placed by officials in some countries with a number of potential partners.
- Interviews with Member States confirm that there is a recognition across all countries that information sharing is critical to the fight against firearms trafficking, transnational organized crime, and terrorism. The need for an official protocol to exchange information across the G5 countries (Burkina Faso, Niger, Mali, Mauritania and Chad) was expressed as essential, but coordination and cooperation challenges are hindering the fostering of positive working relationships.

Human Rights, Gender Equality, Leaving No One Behind

- The projects did not address Human Rights explicitly, neither did they explicitly address the issue of Gender Equality or the situation of members of vulnerable groups.

Lessons learned

- The success of Operation KAFO shows the value added of bringing regional counterparts together in joint operations in the field. During its implementation, the operation merged the pillars of the programme to accomplish common goals between Member States, furthering awareness of the issues

of firearms trafficking and the relevance of the desired outcomes of the GFP to their own national priorities. Capacities were utilized in the field, increasing participant confidence in the skills developed through training sessions. New partnerships were formed between regional counterparts that historically limited due to trust issues. The operation also reinforced the importance of cross border cooperation, collaboration and information sharing in achieving common goals.

- One lesson learned from the Sahel projects (common to other regions covered by the GFP) is that “this global monitoring initiative represents a needed, but challenging initiative for many countries, which requires adjustments and in depth understanding of the topic and the questionnaire, and most likely also additional support in terms of awareness raising, training and capacity building, technical support and political buy in”.

ANNEX VII. REVIEW OF DEVCO PROJECT

Mid-Term Evaluation of GLOX34/ Project “Countering Transnational Illicit Arms Trafficking through the Implementation of the United Nations Convention against Transnational Organized Crime and its Firearms Protocol”: August 2018 – August 2021.

Introduction

This evaluation is part of the independent in-depth mid-term evaluation (MTE) of the Global Firearms Programme (GFP) entitled “*Countering illicit arms trafficking and its links to transnational organized crime and terrorism*” implemented since March 2011 by the Organized Crime and Illicit Traffic branch of UNODC. The Programme is made up of eight projects, the first of which started on 1 March 2011, while the last project, object of the present annex, is scheduled to end on 8 August 2021. The Total Approved Budget for the Programme is US\$ 10.248m; the Total Overall Budget being a little over US\$12.15m. The present project has a budget of US\$ 3.9m, funded by the European Union (DG DEVCO).

The project effectively constitutes the backbone of the GFP programme for the three-year period of its implementation. It follows an earlier EU-funded project period (USD 2.85m from 2011 to 2015) and the DG Home-funded project that is covered by a separate annex. Altogether, EU support covers about 80% of the entire GFP programme budget since 2011. The present project is therefore very much a reflection of the programme as a whole. This is why this annex largely reproduces findings from the main report. It does, however, contain specific findings, conclusions and recommendations focused on the project.

The project

As per the project document⁴⁰, the overall objective of the project is: “To prevent and fight organised crime, including the fight against cybercrime and the illicit trafficking in small arms and light weapons and falsified medicine”, with the specific objective of: “Prevention and countering of illicit manufacturing and trafficking in firearms, and their links to transnational organized and other serious crimes, and promoting the ratification and implementation of the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime (UNTOC)”.

Moreover, the project aims at achieving four specific objectives:

1. Increased awareness of the firearms issue and its international responses, and adequate policy and legislative frameworks in place, in line with relevant international and regional instruments;
2. Increased capacities of countries and sub-regions to implement effective firearms control regimes in line with the Firearms Protocol and other relevant instruments, and to detect, investigate and prosecute firearms trafficking and related offences through effective national response and international law enforcement and judicial cooperation;
3. Support effective cooperation and sharing of information and good practices among communities of firearms and organized crime/terrorism practitioners, through regular contacts and use of specialized cooperation networks and platforms and taking advantage of existing initiatives; and

⁴⁰ UNODC (2018): Countering transnational illicit arms trafficking through the implementation of the United Nations Convention Against Transnational Organized Crime and its Firearms Protocol, Project Proposal, IfS/2018/398-640 Annex I- Description of the action.

4. Improved capacity to monitor, analyse and identify synergies for firearms legislation and case-law with and amongst other forms of transnational organised crime, including cybercrime, money laundering, illicit drug trafficking, smuggling of migrants as well as terrorism.

The present project is embedded in the Global Firearms Programme, which is structured around five pillars that develop UNODC's integrated arms control approach (see Figure 1):

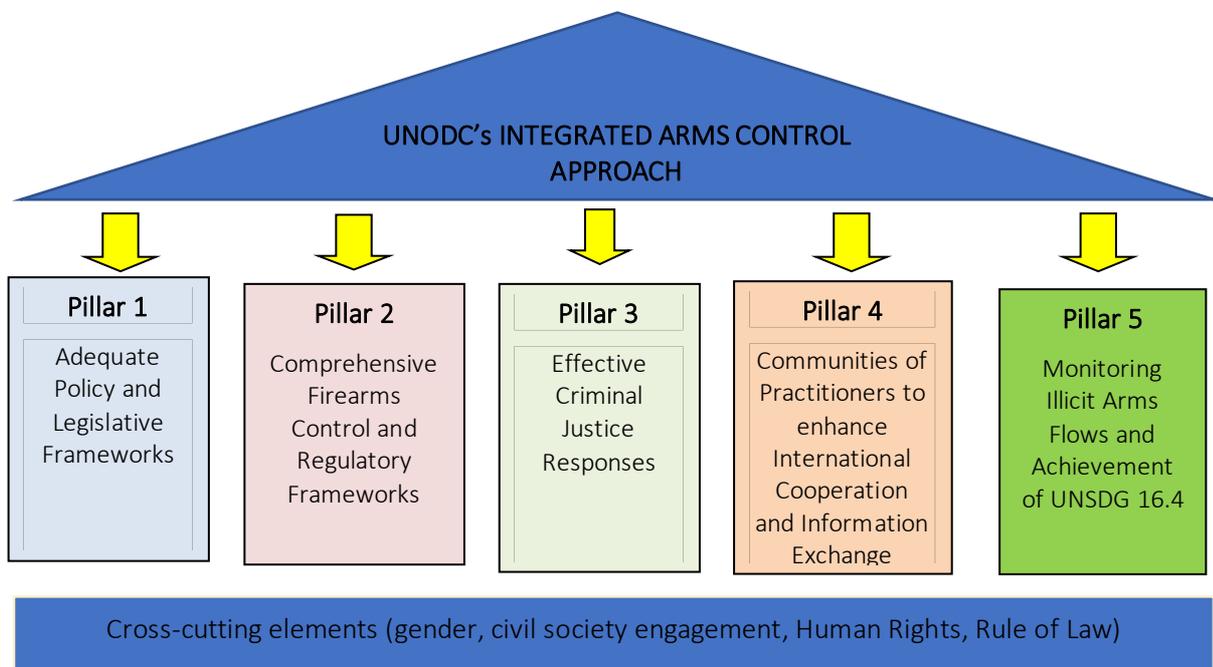


Figure 1. UNODC's integrated arms control approach.

Evaluation findings

Design

- The project design is in line with the overall GFP approach. The four specific objectives of the project, or “outputs”, cover the five pillars of the GFP– with Output 2 bringing together Pillars 2 and 3. The activities related to each output are detailed in the project proposal, and are consistent with the intervention logic of the overall programme.
- The logical framework of the project, appended to the project document, defines for each of the specific objectives of the project a set of indicators as well as their corresponding baseline and target values and related sources and means of verification. Although expected results are identified at the output and at the outcome levels, the project design could benefit of revising the formulation of some logframe indicators to ensure that all of them are SMART (Specific, Measurable, Achievable, Relevant and Time-bound), in line with UNODC's results-based management handbook⁴¹. This would facilitate monitoring progress towards the achievement project goals at the outcome level, beyond the current focus on activities and products of annual progress reports.

Relevance

⁴¹ UNODC (2018): Handbook: Results-based Management and the 2030 Agenda for Sustainable Development.

- The project constitutes the backbone of the GFP. As such, it is relevant to UNODC's strategy and the SDGs (i.e. in relation with Target 16.4). The project clearly identifies the concerns to be addressed and sets out a holistic strategy for doing so.
- The project is relevant to the needs of target countries. Its objectives and activities have been developed on the basis of a sound analysis of the international agreements on firearms and of the challenges faced around the world in relation to control of firearms trafficking and criminal use.
- As is the case of the programme as a whole, the relevance of the project is enhanced by sustained consultations with stakeholders at the national level.

Efficiency

- To the evaluators' knowledge, project funds were used as originally intended and there were no cost overruns. Apart from staff costs, the main areas of spending are related to logistics: workshops and technical assistance missions.
- Project was efficiently managed in the sense that the GFP team implemented a number of activities in a relatively timely manner. There were also substantial delays in some activities, caused mainly by staff shortages and, secondarily, by difficulties in coordinating workshops with participants from many countries. Nevertheless, the main elements of the project are being delivered.
- Efficiency could be enhanced in future projects by increasing the field presence, in line with the new delegation of authority framework and UNODC Strategy 2021-2025. Synergies could also be sought with other pillars, including on civil society engagement and capacity building.

Effectiveness

- Progress reports and feedback from interviews show that the project is effective in the sense that visible progress has been made towards the delivery of all aimed project objectives. At the closure of the data collection for the evaluation, the project shows higher progress in areas such as awareness-raising, legislative development, and capacity building. Comparatively, other areas such as the development of communities of practitioners are at an earlier stage of implementation.
- The project has carried out a wide-range of activities aimed at raising awareness of the firearms issue and at developing adequate policy and legislative frameworks. Activities focused on awareness rising and engagement with decision-makers on the issue of firearms and its international responses include the participation in events such the 5th Conference of State Parties to the Arms Treaty (Geneva, 26-30 August 2019), the 4th INTERPOL iArms Steering Committee meeting (March 12-13), and CARICOM IMPACS Regional Meeting on "Preventing Firearms Trafficking" (Port of Spain, Trinidad and Tobago, 29-30 January 2019). As for legislative and policy advice, the GFP supports the participation of national practitioners from priority countries in inter-governmental meetings such as the Conference of the Parties and the Firearms Working Group. The Programme also carried out assessment missions to six countries (Bolivia, Central African Republic, El Salvador, Guatemala, Honduras, and Paraguay), which enabled the development of gap analyses and roadmaps for legislative assistance to target countries. As of March 2020 (end of the data collection period for the evaluation), some outcomes are already visible in terms of countries having formally approved the roadmap (Bolivia and the Central African Republic), while consultations were being held with other countries for the adoption of roadmaps through MoUs or other instruments. Legislative advice and legal drafting support were also provided to several countries, including legislative advice to Bolivia, Côte d'Ivoire, the Central African Republic and Chad; and legal drafting support to Côte d'Ivoire, the Central African Republic, Chad, Honduras and Paraguay. As of August 2019, two countries assisted by the GFP (Chad and Côte d'Ivoire) were discussing draft laws by their respective Cabinet of Ministers.

- Several capacity building and information-sharing activities are shown in GFP progress reports. DEVCO provided funding for the adaptation and translation (into French) of a German funded training course on "Detection of Firearms, Ammunition and Explosives at Land Border Crossing Points pilot tested (in September 2019) in Chad and in Cote d'Ivoire; and, as of August 2019, the GFP aimed at further adapting and translating the course to Spanish. Additional ongoing activities include the development of standard operating procedures for seized firearms, their management and storage; the development of an integrated software for firearms (in collaboration with UNODC Information Technology Services); and consultations with beneficiary countries (target countries being Bolivia, Honduras, Central African Republic and Niger) on needs and technical specifications regarding national record keeping systems. The extent to which progress has been made towards the aimed target of reaching six hundred law enforcement and judiciary staff trained in investigating and prosecuting firearms trafficking and related offence was not quantitatively assessed by the evaluation team due to lack of data.
- Feedback from interviews and progress reports show GFP's efforts towards developing a Community of Practice (CoP) for sharing information and good practices among communities of firearms and organized crime/terrorism practitioners. As of August 2019, a database of practitioners has been developed by the GFP, establishing an interactive electronic resource for supporting the direct contact between practitioners and for the provision of expert's advice. Additional planned activities include the development of a dedicated website (including a restricted section for CoP members), the launching a periodic newsletter, and the delivery of two regional meetings among practitioners.
- Another focus area of the project is building capacity to monitor, analyse and identify synergies for firearms legislation and case-law with other forms of transnational organised crime. Progress reports indicate that the GFP has collected information about cases, seizures and operations related to investigations in the countries where the Programme provides technical assistance. As of August 2019, 32 cases on firearms trafficking are uploaded to UNODC's platform Sherlock, and the GFP team was developing a digest of illustrative cases and related good practices. Feedback provided by the GFP team after the closure of the data collection period for the evaluation suggests that, due to budgetary considerations, for reasons of efficiency, the GFP is currently developing (in collaboration with UNODC ITS) its own online platform on firearm issues.
- Feedback from interviews suggests that some of the factors hampering effectiveness are the high rotation of staff in counterpart organizations as well as the security situation in some countries –i.e. of the Sahel region. In terms of information-sharing and cooperation among firearm and organized crime practitioners, increases in effectiveness are expected as the CoP develops over time.
- As stated above in the Design section, the project could benefit of improving the formulation of some logframe indicators in order to facilitate the monitoring of progress towards the achievement of project objectives and the overall assessment of project effectiveness.

Likely impact

- See impact section of the main report.
- The project is contributing to elements of impact at the international and national levels, including in terms of SDG 16. However, it is too early at mid-term to assess the project's likely overall impact, once it is completed in 2021.

Sustainability

- It is premature at this mid-term point to assess the sustainability of the project as such. However, the GFP team's ongoing interactions with national stakeholders, its collective expertise and capacity to provide ad hoc advice as well as structured policy documents, are all contributing to the sustainability aspect of the GFP's performance.
- Another key elements of sustainability that are visible in progress reports and interviews are the capacity and skills developed, the emerging information-sharing practices among participants of GFP capacity building and awareness-raising activities, and the improvements in monitoring and analysis of firearms issues.

Partnerships and communications

- See relevant section of the main report.

Human Rights, Gender Equality, Leaving No One Behind

- The project document states that it is expected that the action will create a spill-over effect to the benefit of cross-cutting issues such as Human Rights, Gender Equality and rule of law. Although it is still early to assess whether such spill-over effects have materialised, the GFP has made some ad hoc efforts to address Human Rights and Gender Equality in training activities.
- Feedback from interviews suggests that the project should increase its focus on Human Rights, Gender Equality and vulnerable groups, in line with UNODC's position paper on the promotion and protection of Human Rights, UNODC's Strategy for Gender Equality and the Empowerment of Women (and related guidance note for mainstreaming gender in the work of UNODC), and UN's Disability Inclusion Strategy. The GFP needs to incorporate Human Rights, gender and disability aspects more explicitly in its design to better meet UNODC guidelines on these issues. The project should also explore undertaking and/or contributing to research on the connections between Human Rights and Gender Equality and the prevention and countering of illicit firearms trafficking, and seek to establish UNODC and the GFP as a leader in this field.

Lessons learned

- The project is plainly a continuation of the ongoing GFP. As such, it is not a genuinely stand-alone project. It should therefore not be assessed separately from the GFP as a whole, which is evaluated in the main report.