



INSTRUMENT FOR PRE-ACCESSION ASSISTANCE (IPA II) 2014-2020

MULTI-COUNTRY

EU4 Security: Support for enhancing the fight against the illegal possession, misuse and trafficking of small arms and light weapons (SALW) in the Western Balkans

Action summary

This action aims to strengthen the response of the Western Balkans to fight serious organised crime and terrorism, by enhancing cooperation and capacity within the region in the fight against the illegal possession, misuse and trafficking of small arms and light weapons (SALW) and their ammunitions. The action will support the implementation of the EU's policy on Firearms Trafficking integrating the Western Balkans SALW control roadmap in the period 2021-2024 by strengthening strategic and operational capacity of Western Balkan authorities to conduct investigations and exchange information on the illegal possession, misuse and trafficking of small arms and light weapons and their ammunition and by increasing the response to factors fuelling demand and misuse of firearms in the region.

The action contributes to the implementation of the EU Western Balkans Strategy and the Sofia Priority agenda.

Action Identification			
Action Programme Title	IPA II Multi-country Action programme 2020 - part 2		
Action Title	EU4 Security: Support for enhancing the fight against the illegal possession, misuse and trafficking of small arms and light weapons (SALW) in the Western Balkans		
Action ID	IPA 2020/042-350.05/MC/SALW		
Sector Information			
IPA II Sector	9. Regional and territorial cooperation		
DAC Sector	15210 – Security system management and reform		
Budget			
Total cost	EUR 5 million		
EU contribution	EUR 5 million		
Budget line(s)	22.020401- Multi-country programmes, regional integration and territorial cooperation		
Management and Implementation			
Method of implementation	Indirect management		
<i>Indirect management:</i> Entrusted entity	United Nations Development Programme (UNDP)		
Implementation responsibilities	N/A		
Location			
Zone benefiting from the action	Western Balkans (Republic of Albania, Bosnia and Herzegovina, Kosovo [*] , Montenegro, Republic of North Macedonia, and Republic of Serbia)		
Specific implementation area(s)	N/A		
Timeline			
Final date for contracting including the conclusion of contribution/delegation agreements	At the latest by 31 December 2021		
Final date for operational implementation	72 months from the adoption of this Financing Decision.		
Policy objectives / Markers (DAC form)			
General policy objective	Not targeted	Significant objective	Main objective
Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	X
Aid to environment	X	<input type="checkbox"/>	<input type="checkbox"/>
Gender equality (including Women In Development)	<input type="checkbox"/>	X	<input type="checkbox"/>

* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence.

Trade Development	X	<input type="checkbox"/>	<input type="checkbox"/>
Reproductive, Maternal, New born and child health	X	<input type="checkbox"/>	<input type="checkbox"/>
RIO Convention markers	Not targeted	Significant objective	Main objective
Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
Climate change adaptation	X	<input type="checkbox"/>	<input type="checkbox"/>

1. RATIONALE

PROBLEM AND STAKEHOLDER ANALYSIS

Terrorism and organised crime continue to pose a security threat to the EU and to the whole Western Balkans region. The need to strengthen cooperation on counter-terrorism and organised crime with the Western Balkans is outlined in the EU Western Balkan Strategy¹, the Sofia Declaration² and Priority Agenda and regularly emphasised.³ While operational cooperation has intensified between the EU and the region, further efforts and a solid track record continue to be needed in the fight against organised crime.

The EU Western Balkans Strategy and its flagship on reinforcing engagement on security and migration recognises the need to continue to build capacities in the Western Balkans to counter threats originating from the trafficking of firearms and explosives. To support further progress in this area, it envisages enhancing operational cooperation including with EU agencies as well as addressing the supply of illicit firearms.

The trafficking of firearms appears prominently in the Western Balkans, often as a legacy of the conflicts during the 1990s, which left large numbers of unregistered weapons, both civilian small arms as well as military-type firearms. The region remains one of the sources for firearms smuggled into the EU, which underlines the need to act on firearms trafficking in the region. When trafficked into the EU, the firearms are very often destined to organised crime groups (OCGs) operating in the EU and only in a very limited number of cases used by terrorists. However, the fact that firearms are potentially accessible to terrorist actors represents a serious security threat. The 2015 terrorist attacks in Paris reportedly committed with a certain number of weapons from the Western Balkans showed the growing interconnection between international terrorism and transboundary organised crime.

Despite significant progress achieved in small arms and light weapons control in the Western Balkans, gaps remain in achieving a sustainable solution to the illegal possession, misuse and trafficking of Small Arms and Light Weapons (SALW) and their ammunition. Gaps remain in particular in standardisation of legislative and regulatory frameworks on SALW control across the region and in full harmonisation with the EU regulatory framework and other related international obligations. Furthermore, gaps remain in operational data collection, analysis and sharing, and evidence-based policymaking. Capacities for prevention and countering of trafficking of firearms need to be further strengthened, and the availability of firearms in illicit possession and their misuse decreased. According to the EU SALW Strategy against illicit firearms, small arms and light weapons (SALW) and their ammunition (the EU SALW Strategy)⁴ the scale of accumulation of SALW and ammunition, inadequate storage conditions, widespread illicit possession and gaps in implementation, limit the effectiveness of SALW control efforts in the Western Balkans.

The willingness of the Western Balkans authorities to jointly address the remaining gaps through a regional approach was recently articulated through the development of the Roadmap for a sustainable solution to the illegal possession, misuse and trafficking of SALW and their ammunition (hereafter the Western Balkans SALW Control Roadmap) adopted at the London Summit of the Berlin Process on 10 July 2018. This initiative later received EU financial support through a Council Decision of 19 November 2018. The Roadmap envisages measures to further address: 1) the level of harmonisation of legal frameworks on arms

¹ Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions: "A credible enlargement perspective for and enhanced EU engagement with the Western Balkans", 6 February 2018.

² https://www.consilium.europa.eu/media/34776/sofia-declaration_en.pdf

³ Council conclusions on enlargement and stabilisation and association process, June 2019.

⁴ Council conclusions on the Adoption of an EU Strategy Against Illicit Firearms, Small Arms & Light Weapons & Their Ammunition (19 November 2018)

control in the Western Balkans with the EU legislation, the Arms Trade Treaty⁵ and the Firearms Protocol; 2) use of data in policy making; 3) number of adjudications of misuse and trafficking of firearms, ammunition and explosives; 4) illicit trafficking and risks of diversion of arms exports; 5) challenges of operational cooperation; 6) illegal possession of firearms and 7) capacities for safe and secure storage of firearms, ammunition and explosives. One year after its adoption, the strategic importance and progress achieved in the Western Balkans in the implementation of the SALW Control Roadmap was welcomed at the Poznan Summit of the Berlin Process in July 2019 by Heads of Governments. It is clear however, that full implementation of the Roadmap requires further efforts from the region and support from partners.

The Evaluation report of the EU-Western Balkans 2015-2019 Action Plan on the illicit trafficking of firearms between the EU and the South-East Europe region also showed that EU and Western Balkan partners are facing common challenges and that a number of planned actions were not fully implemented, such as the establishment of firearms focal points, or the collection of harmonised data for firearms seizures, which would enable an evidence-based policy and proper and reliable assessment of trafficking trends. It concluded that closer co-ordination between EU Member States, Western Balkans partners, EU agencies and international organisations is necessary in order to ensure better and concrete results in the joint fight against firearms trafficking.

In this context, this action will seek to enhance the Western Balkans ability to fight against the illegal possession, misuse and trafficking of small arms and light weapons and their ammunition, in line with the EU Western Balkans Strategy and the SALW Control Roadmap. It will focus on addressing issues related to possession and misuse of SALW as well as support operational capacity to tackle trafficking. The main target group of the action are institutions responsible to fight the illicit possession, use and trafficking of SALW, in particular law enforcement, prosecutors, border authorities, relevant ministries and firearms focal points.

The final beneficiaries of the action are the citizens of the Western Balkan region.

The action will be implemented by UNDP through South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (“SEESAC”), a joint initiative of UNDP and the Regional Cooperation Council which was established in 2002 as the executive arm of the Regional Implementation Plan on Combating the Proliferation and Impact of Small Arms and Light Weapons. UNDP- SEESAC remains the key mechanism at the regional level responsible for the provision of technical assistance to the authorities in SALW control, the facilitation of co-ordination on SALW control issues amongst governments, NGOs and other stakeholders, and monitoring of progress. UNDP- SEESAC was tasked⁶ to coordinate the implementation of the SALW Control Roadmap, as well as monitor progress in its implementation.⁷

OUTLINE OF IPA II ASSISTANCE

The action aims to enhance the Western Balkans ability to fight against the illegal possession, misuse and trafficking of small arms and light weapons and their ammunition. This will be achieved through the strengthening of strategic and operational capacity of Western Balkan authorities to conduct firearms investigations and exchange information among themselves and with the EU on the illegal possession, misuse and trafficking of small arms and light weapons and their ammunition (**Specific Objective 1**) and increasing response to factors fuelling demand and misuse of firearms in the Western Balkans (**Specific Objective 2**).

⁵ <https://unoda-web.s3-accelerate.amazonaws.com/wp-content/uploads/2013/06/English7.pdf>

⁶ EU Council Decision 2018/1788

⁷ A specific SALW Multi Partner Trust Fund has been set up between UNDP and UNODC in support to the implementation the SALW Control Roadmap. SEESAC functions as the secretariat to the Trust Fund. This action complements the work of the Trust Fund.

By tackling aspects of strategic and operational capacity as well as underlying root causes of armed violence and the possession of SALW, the action seeks to implement a comprehensive approach with potential for sustainable results. The action will focus on the regional dimension of the fight against firearms trafficking with activities directly generating increased regional cooperation and delivering standardised support to the Western Balkans.

The expected outputs of the action are:

- 1) Network of functioning Firearms Focal Points in the Western Balkans exchanging information established in line with EU standards (SO1)
- 2) Capacities of authorities in Western Balkans to conduct crime scene investigations in accordance with relevant EU good practices and guidelines strengthened (SO1)
- 3) Knowledge enhanced of factors fuelling demand and misuse of firearms in the Western Balkans (SO2)
- 4) Awareness and operational capacity raised among key beneficiaries (SO2)
- 5) Capacities for mainstreaming gender into SALW control by institutions in Western Balkans strengthened (SO2)

For the Specific Objective 1: In order to enhance and accelerate an effective law enforcement response to the illicit trafficking of SALW, the Action will support the functioning of **Firearms Focal Points (FFPs)**⁸ in each of the Western Balkans as well as a **Network** of Firearms Focal Points (NFFPs) to enable **increased information gathering and sharing**. The *EU Action Plan against illicit trafficking in and use of firearms and explosives* recommends EU Member States to set up inter-connected domestic focal points on firearms to develop expertise and improve analysis and strategic reporting on illicit trafficking in firearms, notably through the combined use of both ballistic and criminal intelligence. This recommendation is transposed into the Action Plan on illicit trafficking in firearms between the EU and the South East Europe region (2015-2019) which encourages Western Balkans to set up FFPs as a one-stop shop for all firearms-related information. FFPs will gather, analyse, share and improve the information flow regarding the criminal use and illicit trafficking of firearms into, within or through a certain jurisdiction. While initial support in the form of training of analysts and connection of relevant databases has been provided, further support is needed to allow the FFPs to become a centre of excellence in gun crime analysis. Specific support is required to develop the capacities of dedicated FFP staff members to utilise all possible sources of data and information. The proposed Action will also provide support for the establishment of a Network of Firearms Focal Points to enable information sharing and promote regional cooperation among the Western Balkans as well as close cooperation with the FFPs in EU Member States. In particular, the exchange of information through the NFFPs will allow FFPs to anticipate emerging risks and threats related to firearms. The main indicative activities under this output include workshops/capacity building, meetings and provision of specific tools including regionally.

The action will further strengthen the capacities of law enforcement agencies in **crime scene investigations**. The actions taken at the crime scene at the start of an investigation play a pivotal role in the resolution of a case. Careful, thorough investigation is key to ensure that potential physical evidence is not tainted or destroyed or potential witnesses overlooked. While there are on-going law enforcement capacity building programmes which include crime scene processing, the level of training and resources available varies from jurisdiction to jurisdiction, specifically in the investigation of crime scenes involving the use of firearms which is the main focus of this action. Harmonisation to the European Network of Forensic Scientific Institutes (ENFSI) guiding manuals on crime scene investigation⁹ will provide a standardised method of

⁸ Council Decision, 2 February 2015, COM(2015) 624 final, “Implementing the European Agenda on Security: EU action plan against illicit trafficking in and use of firearms and explosives”

⁹ European Network Forensic Scientific Institute, ENFSI-BPM-FEI-01, 02 June 2017

crime scene investigation in the Western Balkans, which can lead to an accreditation in accordance with the ISO standard 17020¹⁰. This will ensure that the crime scene investigation methods used can be employed in Joint Investigation Teams involving Western Balkans as well as EU partners. The main indicative activities under this output include technical advice and specialised trainings on best practice manuals.

For the Specific Objective 2: As highlighted by UNDP-SEESAC's Armed Violence Monitoring Platform (AVMP), the misuse of firearms remains a risk for the safety and the well-being for citizens of South-East Europe (SEE), both women and men. In 2019, 2,003 incidents with firearms (most of them constituting firearms seizures) were recorded across the region. Most of the criminal acts across the region are committed with illegal firearms. In order to develop an effective response to factors fuelling the demand and misuse of firearms, it is necessary to create enabling conditions for such response. Three specific issues are tackled under this Action: knowledge gaps, limited awareness among key stakeholders and insufficient gender inclusion in SALW policy making. The action will support in-depth research on root causes of armed violence and demand for weapons in the Western Balkans. Findings of the research will be used to **inform policy-making** in the Western Balkans, develop tailor-made **awareness-raising campaigns**, and support **specific operations directly** deriving from the research findings. Overall, better suited SALW control policies need to also reflect on the gender dimension of the issue.

Gender norms play an important role in fuelling demand for SALW, shaping risk taking behaviour and determining specific risks women and men face with regards to SALW misuse. For instance, in SEE men make up 97.2% of firearm owners and commit 98.4% of firearm-related criminal offenses, while they also account for the majority of victims of firearm-related homicides and injuries (83.8%). Women, on the other hand, own only 2.8% of firearms, hardly ever misuse them but are disproportionately represented among the victims at 16.2%. Despite these trends, SALW control policies in South-East Europe until recently have not taken into account the gender dimension of SALW, thus hindering the effectiveness of SALW control and contributing to recurring trends in SALW misuse, such as for instance high prevalence of intimate partner femicide committed with firearms or exposure of young men to armed violence. This gender blind approach has been maintained by low awareness among policy makers about the gender aspects of SALW, lack of sex disaggregated data and gender analysis as well as an under-representation of women in policy-making. The adoption of the Western Balkans SALW Control Roadmap reflects growing awareness about and commitment to address gender aspects of SALW. The Action will support authorities in translating commitments into practice through activities such as capacity building including training, coaching and development of practical tools, review of existing policies, primarily those related to the use of firearms in domestic violence and measures to increase meaningful participation of women in SALW control.

RELEVANCE WITH THE IPA II MULTI-COUNTRY INDICATIVE STRATEGY PAPER AND OTHER KEY REFERENCES

Security cooperation falls under the Regional cooperation pillar of the Indicative Multi-country Strategy Paper for IPA 2014-20¹¹. The overall objective of support under this heading is to foster regional cooperation, networking and sharing of best practices to help the IPA II beneficiaries align their legislation with the EU *acquis* and to adapt gradually to the EU standards and practices.

The action will contribute to the implementation of the EU SALW Strategy against illicit firearms, small arms and light weapons and their ammunition, that recognises the importance of addressing the remaining gaps in SALW Control in the Western Balkans. The implementation of the Action will also facilitate the implementation of European Commission Communication “A credible enlargement perspective for and

¹⁰ ISO/IEC 17020:2012 Conformity assessment — Requirements for the operation of various types of bodies performing inspection

¹¹ IPA II Multi-country Indicative Strategy Paper 2014-202 <https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/20180817-revised-multi-country-indicative-strategy-paper-2014-2020.pdf>

enhanced EU engagement with the Western Balkans”, more specifically the Flagship initiative 2 on Security and migration.¹² The action will directly support the implementation of the Western Balkans SALW Control Roadmap, developed and owned by the authorities of the region, in achieving a sustainable solution to the illegal possession, misuse and trafficking of SALW/firearms, and its ammunition. The Roadmap provides an overall platform for commonly agreed levels of performance, and outlines the commitments required at the strategic, policy and operational levels amongst the beneficiaries, building on the political commitment to the UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects¹³ as well as legal obligation stemming from the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, their Parts and Components and Ammunition (The Firearms Protocol).

The Western Balkans SALW Control Roadmap will be integrated into the new Action Plan for the EU Member States and Western Balkans partners for the years 2020-2024, which will prioritize actions on the 1) enabling conditions (legal environment, administrative structure, training and capacity building), 2) Prevention and awareness-raising (increasing stockpile security, stockpile reduction, Voluntary surrenders and buy-back programmes, awareness-raising campaigns and gender dimension), 3) stronger law enforcement (Intelligence, rigorous legal control, tracing, ballistic analysis, exchange of information at all stages). The action will thus directly support the implementation of the new action plan’s priorities. It also contributes directly to the implementation of Sustainable Development Goal 5 and Goal 16, with a specific focus on Target 16.4. that aims to significantly reduce illicit financial and arms flows by 2030.

LESSONS LEARNED AND LINK TO PREVIOUS FINANCIAL ASSISTANCE

The proposed action does not build directly on previous IPA Multi-country Programme support as such assistance has not been specifically dedicated to the fight against the illegal possession, use and trafficking of SALW. However, a number of on-going IPA actions are active in the area of the wider fight against organised crime. Thus, it will be necessary to carefully consider on-going actions in the region and liaise with the relevant stakeholders to avoid duplication and ensure synergy. In particular, the project ‘Countering Serious Crimes in the Western Balkans’ funded under IPA aims to strengthen the operational cooperation on cross-border investigations on serious organised crime among the Western Balkans and with EU Member States, and to increase the participation of Western Balkans into Europol’s tools and activities such as EMPACT and Joint Action Days including on illicit trafficking of Firearms. A IPA funded project with The European Union Law Enforcement Training Agency (CEPOL) will seek to provide tailor-made and targeted trainings to law enforcement authorities in the Western Balkans based on the outcomes of a Training Needs Assessment for the sector.

In the area of the fight against SALW possession, use and trafficking, UNDP-SEESAC has a lead role in the region and is tasked with providing the secretariat to the Western Balkans SALW Roadmap. UNDP-SEESAC has been operating a number of projects funded by the EU (Common Foreign and Security Policy budget) since 2002. The proposed Action is planned to build in particular upon the EU Council Decisions 2013/730 and 2016/2356¹⁴ which aimed to increase regional cooperation, knowledge exchange and information-sharing, leading to enhanced capacity for evidence-based policymaking, and to reduce the risk of proliferation through the enhancement of weapons and ammunition stockpile security and reducing

¹² The new Action Plan will be a follow-up from the previous Action Plan on the illicit trafficking of firearms between the EU and the South-east Europe region for 2015-2019. This Action Plan aimed to provide a coherent framework for cooperation between the European Union and the South East Europe region on illicit trafficking of firearms. It included several operational actions to be carried out during the period 2015-2019 to reach different strategic goals (notably "intelligence picture", "operational activities", "prevention and capacity-building", "cooperation with non-EU partners").

¹³ Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (UN Document A/CONF.192/15)

¹⁴ <http://www.seesac.org/f/docs/SALW-Resources/EU-Council-Decision-CFSP-2016-2356.pdf>

surplus stocks of SALW and their ammunition in storage. The EU Council Decision 2018/1788¹⁵ provided additional funding to UNDP-SEESAC to support the coordination of the Roadmap implementation; harmonisation of legislative and regulatory frameworks on SALW/firearms with those of the Union; and enable a clear understanding of the current gaps and needs in order to improve further cross-border detection capacities with regard to illicit firearms trafficking. The Council Decision (CFSP) 2019/2111 of 9 December 2019 provides additional support to UNDP-SEESAC on the following: contribute to strengthened regional cooperation, knowledge exchange and information-sharing on SALW control; further support the development of a legislative and regulatory framework on SALW, firearms and explosives, and its harmonisation with the Union framework and standardisation in South-East Europe (SEE); continue support to evidence-based policy-making on SALW control addressing the needs of both men and women; build the capacity of border police and criminal police services of the Western Balkans to counter illicit trafficking and possession of firearms; improve capacity for physical security and stockpile management (PSSM) through infrastructure security upgrades, surplus reduction and training; and build on the current work on the establishment of the Firearms Focal Points in SEE. The proposed action complements the CFSP funded activities and allows specific focus to develop on areas such as the links between gender and SALW which up to now have received limited attention. In addition, the implementation of this action will be complemented by projects supported through the UN Multi Partner Trust Fund of the Roadmap.

Consultation and coordination of the action will be ensured with EU Justice and Home Affairs Agencies as well as the EMPACT driver on Firearms. Regular liaison will also take place with the OSCE, UNODC and Interpol.

¹⁵ <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32018D1788&from=EN>

2. INTERVENTION LOGIC

LOGICAL FRAMEWORK MATRIX

OVERALL OBJECTIVE(S) / (IMPACT(S))	INDICATOR'S NAME	OBJECTIVELY VERIFIABLE INDICATORS			SOURCES & MEANS OF VERIFICATION	
		BASELINES (2020)	MILESTONES (2022)	TARGETS (2024)		
<p>Long-term Overall objective: To contribute to the strengthening of the rule of law in the Western Balkans through the fight against organised crime and terrorism</p> <p>Intermediate Overall objective(s): To enhance the Western Balkans ability to fight against the illegal possession, misuse and trafficking of small arms and light weapons and their ammunition.</p>	<p>Extent to which legislative and other regulatory measures to fight organised crime in line with EU acquis are implemented</p> <p>Extent to which Western Balkans are able to fight against the illegal possession, misuse and trafficking of small arms and light weapons and their ammunition.</p>	<p>Baseline to be defined</p> <p>Baseline to be defined</p>	<p>Process of improvement initiated (2022)</p> <p>Process of improvement initiated</p>	<p>Improvement reported (2024)</p> <p>Improvement reported (2024)</p>	<p>EU Enlargement Reports</p> <p>Reports of other international organisations</p> <p>SEESAC assessment</p> <p>Civil Society Assessments</p>	
SPECIFIC OBJECTIVE(S) / OUTCOME(S)	OBJECTIVELY VERIFIABLE INDICATORS (*)				SOURCES OF VERIFICATION	ASSUMPTIONS
<p>Specific Objective 1: To strengthen strategic and operational capacity of Western Balkan authorities to conduct firearms investigations and exchange information among themselves and with the EU on the illegal possession, misuse and trafficking of small arms and light weapons and their ammunition</p> <p>Specific Objective 2: To increase response of beneficiaries to factors fuelling demand and misuse of firearms in the Western Balkans</p>	<p>Level of strategic information sharing and operational cooperation within the region</p> <p>Level of capacities of authorities to conduct firearms investigations</p> <p>Level of response to factors fuelling demand and misuse of firearms in the Western Balkans</p>	<p>Information sharing and operational cooperation on ad hoc basis</p> <p>Capacities limited</p> <p>Limited response</p>	<p>Platforms for regional operational cooperation and information exchange in place</p> <p>Capacities strengthened and joint operations implemented</p> <p>Process initiated to improve response</p>	<p>Regular regional operational cooperation and information exchange</p> <p>Capacities developed and applicable tools at EU level used</p> <p>Improved response</p>	<p>EU Enlargement reports</p> <p>International Organisations reports</p> <p>SEESAC assessment/reports</p> <p>Meeting minutes</p> <p>Questionnaire/study</p>	<p>No further deterioration of the security situation</p> <p>Political will from the beneficiaries in implementing the project.</p> <p>Access to relevant information and tools granted</p>

OUTPUTS	OBJECTIVELY VERIFIABLE INDICATORS				SOURCES OF VERIFICATION	ASSUMPTIONS
<p>Output 1 (linked to SO 1) Network of Firearms Focal Points in the Western Balkans exchanging information established in line with EU standards</p> <p>Output 2 (linked to SO1) Capacities of authorities in Western Balkans to conduct crime scene investigations in accordance with relevant EU good practices and guidelines strengthened</p> <p>Output 3 (linked to SO 2) Knowledge enhanced of factors fuelling demand and misuse of firearms in the Western Balkans</p> <p>Output 4 (linked to SO 2) Awareness and operational capacity raised among key beneficiaries</p> <p>Output 5 (linked to SO2) Capacities for mainstreaming gender into SALW control by institutions in Western Balkans strengthened</p>	<p>Network of Firearms Focal Points established ¹⁶</p> <p>Level of exchange between Firearms Focal Points ¹⁷</p> <p>Number of targeted IPA II beneficiaries for which there is a certain level of compliance with relevant European good practices and guidelines and international standards ¹⁸</p> <p>Level of knowledge¹⁹</p> <p>Number of awareness raising campaigns²⁰</p> <p>Level of integration of gender perspective in institutions' work (strategic, legal and operational levels)²¹</p>	<p>0</p> <p>Limited exchange</p> <p>2</p> <p>Basic knowledge of factors fuelling demand and misuse</p> <p>0</p> <p>Limited integration</p>	<p>1</p> <p>Exchange of information facilitated</p> <p>4</p> <p>Improved knowledge of factors fuelling demand and misuse</p> <p>1</p> <p>Gender perspective integrated in strategic and legal framework</p>	<p>1</p> <p>Exchange of information facilitated</p> <p>6</p> <p>Knowledge used in demand reduction policies</p> <p>2</p> <p>Gender perspective integrated at operational level</p>	<p>SALW domestic strategies and action plans</p> <p>SEESAC assessment/report</p> <p>SOPs from relevant institutions</p> <p>Training reports</p> <p>Meeting minutes</p> <p>Equipment handover certificates</p> <p>Questionnaire/study</p>	<p>Sufficient specific funding for the establishment of Firearms focal point, law enforcement and prosecutors in place</p>

¹⁶ Goal 2 and KPI 7 of the Roadmap

¹⁷ Goal 2 and KPI 7 of the Roadmap

¹⁸ Goal 1 and 2 of the roadmap

¹⁹ Goal 4 of the Roadmap

²⁰ Goal 4 of the Roadmap

²¹ Goal 4 of the Roadmap

DESCRIPTION OF ACTIVITIES

The following main indicative activities are foreseen:

1. Network of functioning Firearms Focal Points in the Western Balkans exchanging information established in line with EU standards (SO1)

The action will support the full operationalisation of functioning FFPs and in parallel, establish a FFP network in the Western Balkans, in complementarity with activities already funded under EU Council Decision 2019/2111.

Capacity building of the FFPs will comprise the provision of technical advice/assistance, technical tools and training including on ANACAPA (Analyst critical thinking skills), Open Source Intelligence (OSINT), Social Media Intelligence (SOCMINT) and gender analysis. Table top exercises will be organised to develop and exercise operations to address specific risks and intelligence-led policing products (problem profiles, subject profiles and operational and strategic assessments) will be developed.

The action will provide support in developing outreach of the FFPs to integrate this new function into the existing law enforcement architecture. Specifically, an outreach campaign will be conducted and information materials produced. FFPs will be supported in presenting their innovative function and findings of analytical exercises to investigators of other crime areas such as drugs, the trafficking of human beings, organised crime and terrorism to increase the quality of investigations.

A network of FFPs will be established and supported through technical assistance, provision of specific tools and the organisation of workshops and meetings. The action will retain a degree of flexibility to respond to needs identified by the network to enable effective information sharing and promote regional cooperation including with EU Member States.

2. Capacities of authorities in Western Balkans to conduct crime scene investigations in accordance with relevant EU good practices and guidelines strengthened (SO1)

Under this component, and based on a need assessment, technical advice and expert support including through regional and domestic workshops will be provided for the establishment of a quality management system (QMS) for crime scene investigations. The QMS is a formalised system of processes, procedures and responsibilities in order to ensure a proper tracking record containing detailed documentation on the methods and techniques of collection of evidence, preservation, packaging, transportation, storage and laboratory analysis.

In this process, hands-on guidelines will be developed with and for the authorities on issues such as gun crime scene investigations, recovery of ballistic items from the crime scene, custody chain and evidence handover throughout an investigation. The guidelines will be based on the ENFSI best practice manuals in this field and they will be accompanied by technical advice and specialised trainings to ensure practical implementation.

The provision of crime scene investigation equipment, such as specific kits used by Crime Scene Investigation units is also foreseen to allow for ISO 17020 accreditation upon the initiative of specific jurisdictions.

A QMS governed environment and accredited laboratories are required to increase exchange of forensic information including internationally, thus supporting overall better delivery by law enforcement. In this context, and subject to an assessment of concrete needs which are unmet by other complementary support, limited support can be provided under this action to forensics examination in trafficking of firearms and other firearms related criminal cases as well as explosives.

3. Knowledge enhanced of factors fuelling demand and misuse of firearms in the Western Balkans (SO2)

An in-depth knowledge research to identify factors and mechanisms, which fuel demand for firearms and shape risk-taking behaviours, with a particular focus on perpetrators of firearm-related incidents, will be conducted. This research will look at illicit arms trafficking trends (demand and supply) and public safety impact as well as analyse the factors that are fuelling demand and misuse of firearms at an individual level. It will aim to answer questions related to the perpetrators of firearm-related incidents and owners of firearms such as their supply points, factors that determine the levels of supply and demand, reasons why a firearm has been acquired, on which incidents weapons are mainly misused etc.

The research is crucial in view of gathering data to support the development of evidence-based policies and better targeted actions to reduce the demand and misuse of firearms and ammunition.

4. Awareness and operational capacity to fight illicit and/or misuse of firearms raised among key beneficiaries (SO2)

Under this component, four strands of activities will take place: (i) activities that translate the in-depth research findings into awareness among policy-makers; (ii) awareness-raising activities developed in close cooperation with local authorities targeting specific target groups and behaviour; (iii) regional cooperation; and (iv) support to specific operational measures devised in response to the knowledge gathered.

The action will translate the findings of the in-depth research into a regional profile on SALW. Concrete guidelines for policy-making will be developed and presented for review by SALW commissions in the region. A particular emphasis will be placed on ensuring that all relevant authorities involved in SALW will be reached by the profile and guidelines.

More broadly, based on the in-depth research conducted under the Action, findings of SALW surveys, as well as trends captured by SEESAC's online Armed Violence Monitoring Platform, awareness raising campaigns and materials will be developed and deployed on the dangers of misuse of firearms. Awareness raising activities will be developed in close cooperation with the authorities and incorporate lessons learnt from previous campaigns implemented in the Western Balkans.

A regional task force will be established to ensure that awareness goes hand in hand with operations at domestic and regional level. This fora can address specific trends such as celebratory fire, domestic violence at gunpoint, armed robberies, youth gangs, and joining organised crime gangs as carriers, etc. The task force serves to discuss regional trends and approaches, share experience and plan possible domestic or joint work.

Specific measures could include²² voluntary surrender and legalization campaigns, which are indicated by most of the authorities as a priority for the implementation of the Roadmap. Such campaigns provide an opportunity for citizens to surrender weapons held illegally, without legal repercussions, as well as to register those weapons whose types are admissible by law. The campaigns could use the research findings in terms of selection of target groups and be conducted regionally, if relevant. Preventive programmes could also be developed and implemented, particularly targeting young men.

²² The measures are dependent on the adopted legal framework that provides amnesty for legalization and voluntary surrender to be adopted by the authorities.

5. Capacities for mainstreaming gender into SALW control by institutions in Western Balkans strengthened (SO2)

This activity aims to provide a comprehensive support to institutions in the Western Balkans to effectively mainstream gender in SALW control. It builds on the findings of the Gender and SALW in South East Europe study²³, Gender Aspects of SALW and How to Address them in Practice²⁴, Misuse of Firearms in Domestic Violence in South East Europe: Fast Facts²⁵, the Gender and Small Arms Fast Facts for each of the jurisdictions in the Western Balkans²⁶ and findings of SALW survey reports for the Western Balkans jurisdictions²⁷.

The action will support capacity building for competent institutions to practically integrate the gender perspective in their work and therefore efficiently address firearm-related risks, improve the institutional response to the use of firearms in domestic violence and increase women's participation in SALW control. Specific activities include research, analysis and development of tools will be supported, as well as targeted training to authorities and civil society. Based on previous research and analysis, training can target issues such: development of risk assessment tools for first responders; gender sensitive license-issuing tools; and gender and small arms for women's CSO and organizations. A specific gender coach programme could be rolled out, as well as domestic violence fatality reviews.

Regional information exchange, sharing of best practices and standardisation of approaches will be ensured through the regional SALW commissions platform that is implemented through EU Council Decision 2019/2111.

RISKS

Risk	Impact L/M/H	Likelihood L/M/H	Management
The political situation in the Western Balkan region can impact upon the general willingness to enhance regional cooperation on security threats such as organised crime and the fight against SALW including with the EU.	H	L	There is a high-level political commitment made by the Western Balkans to address the illicit trafficking of small arms and light weapons, as witnessed by the Western Balkans SALW Roadmap.
There is a risk of limited interest, trust, and/or stakeholders' buy-in into the foreseen activities led by SEESAC.	H	M	Lack of interest, trust and/or buy-in will be addressed through the demonstration of concrete results that can be derived from the cooperation. While specific activities will be planned and consulted with the Western Balkans, including at the technical and strategic level, specific work plans can be adjusted, should there be limited interest for a specific activity. UNDP SEESAC is a known partner in the region and has built a strong network of contacts who can support

²³ http://www.seesac.org/f/docs/Armed-Violence/Gender_and_SALW_publication_eng-web.pdf

²⁴ <http://www.seesac.org/f/docs/Gender-and-Security/Gender-Aspects-of-SALW---ENG-28-09-2018.pdf>

²⁵ http://www.seesac.org/f/docs/Gender-and-SALW/Misuse-of-firearms-in-SEE_ENG_WEB_FINAL.pdf

²⁶ <http://www.seesac.org/Gender-and-Security/>

²⁷ <http://www.seesac.org/publication/>

			implementation of the action.
Economic circumstances can negatively impact the political will to counter organised crime effectively by making the necessary resources available. This can also result in frequent staff changes which makes medium-term capacity building challenging.	M	M	Awareness-raising and regional capacity-building activities are expected to contribute to strengthened networking and trust-building, creating favourable conditions at the technical/operational level to counterbalance possible negative developments at the political level.

CONDITIONS FOR IMPLEMENTATION

The successful implementation of the action will require that the authorities of the Western Balkans provide high-level support to the action and commit themselves to prioritise within their own organisations its objectives. The Western Balkans should also increasingly allocate specific budget to address proliferation and trafficking of SALW to ensure that the cooperation initiated under this action continues beyond its duration.

3. IMPLEMENTATION ARRANGEMENTS

ROLES AND RESPONSIBILITIES

The action will be implemented by the United Nations Development Program (UNDP) through South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC), in recognition of the key role SEESAC plays in the implementation of the Western Balkans SALW Roadmap. UNDP- SEESAC will be responsible for implementing all aspects of this action. In this task, UNDP - SEESAC is required to ensure complementarity of this action with any other actions taken in support of the Roadmap implementation. As the secretariat of the UN Multi Partner Trust Fund of the Roadmap, UNDP-SEESAC is well placed to acts as a platform, coordinator and convener of stakeholders – the domestic institutions, international organisations and donors – who jointly work to advance the small arms and light weapons control agenda in the Western Balkans.

The implementation of the action will require the cooperation and involvement of relevant authorities (including Ministries of Interior), law enforcement actors (notably police) and local actors, commissions and networks involved in the firearms control and civil society actors.

A steering committee including at least UNDP -SEESAC and the European Commission will be set up to steer the implementation of this action. It will meet regularly at least once a year to discuss progress and approve work plans and budget. The day-by-day implementation of the action will be assured by a small Project Office, building on and working in coordination with other UNDP-SEESAC initiatives.

METHOD(S) OF IMPLEMENTATION AND TYPE(S) OF FINANCING (SEE ANNEX IMPLEMENTATION – BUDGET)

The action will be implemented in indirect management through a contribution agreement with an international organisation (UNDP through SEESAC).

The indicative duration of the contribution agreement is 36 months.

4. PERFORMANCE MEASUREMENT

METHODOLOGY FOR MONITORING (AND EVALUATION)

Having regard to the importance of the action, a mid-term evaluation will be carried out for this action or its components via an implementing partner.

In case a mid-term evaluation is foreseen: it will be carried out for learning purposes, in particular with respect to informing the European Commission on future actions in the concerned area.

The evaluation reports shall be shared with the IPA II beneficiary and other key stakeholders. The implementing partner and the European Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the IPA II beneficiary, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

The evaluations should be carried out following Directorate-General for Neighbourhood and Enlargement Negotiations guidelines on linking planning/programming, monitoring and evaluation²⁸. It is recommended that a Reference Group comprising the key stakeholders of this action be set up to steer the evaluation process and ensure the required quality level of the evaluation outputs as well as the proper follow-up of the recommendations of the evaluation.

In addition, the action might be subject to external monitoring in line with the European Commission rules and procedures.

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities.

²⁸ https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/near_guidelines.zip

5. CROSS-CUTTING ISSUES

GENDER MAINSTREAMING

In recognition of the importance gender norms play in armed violence, **gender mainstreaming is a specific component of the action** and applied across the action.

In accordance with the guidelines for gender mainstreaming for the effective implementation of the UN programme of action to prevent, combat and eradicate the illicit trade in small arms and light weapons in all its aspects,²⁹ gender-mainstreaming refers to the “process of assessing the implications for women and men of any planned action, including legislations, policies or programmes in all areas and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated.” (ECOSOC 1997).

This action will in accordance with these guidelines implement a gender-sensitive approach which is not exclusively about women, but about gender more broadly. This approach factors the special needs of men and women, boys and girls in the formulation of appropriate responses to issues of gender and SALW. For example, young men suffer disproportionately from the direct impacts of SALW use (globally 84% of gun homicide victims are men, 16% are women), while women tend to be victims of use of firearms in domestic violence.

When relevant, data gathered and results achieved through this action will be sex disaggregated.

EQUAL OPPORTUNITIES

This action will in its design as well as in its implementation provide equal opportunities for all. Research has shown that armed violence differently impacts on children, men and women. Equal opportunities will be monitored and kept in mind during decision-making processes, regulatory drafting, risk and threat assessments as well as the implementation of activities such as training but also addressed during training.

MINORITIES AND VULNERABLE GROUPS

The action will aim to ensure that minorities and vulnerable groups are well presented. Specific awareness raising activities might target vulnerable groups, to the extent that the research conducted under the action points to specific needs of vulnerable groups as regards the illicit and misuse of firearms. The action will also look at hate crime as a potential factor fuelling the demand for weapons. Evidence-based policies based on the knowledge research will ensure that all vulnerable groups are adequately addressed and safeguarded and that these groups have equal access to decision-making, training and support when needed.

ENGAGEMENT WITH CIVIL SOCIETY (AND IF RELEVANT OTHER NON-STATE STAKEHOLDERS)

The presence of SALW threatens the lives and livelihood of individuals as they go about their daily activities. The proliferation, availability and use of SALW is therefore not only a problem that affects the state, but also one that threatens the security and well-being of ordinary people. Thus, civil society

²⁹ <http://www.poa-iss.org/KIT/A-Conf192-2006-RC-CRP3-Gender.pdf>

organisations as well as individuals have an interest and a role in becoming an effective part of SALW control efforts. In particular, civil society organisations can exert a special influence over SALW control activities, as they often have the trust of the communities in which they work and are seen to be relatively impartial and/or neutral.

This action will include civil society in conducting research, as well as in the development and implementation of awareness raising campaigns and as a recipient of training.

ENVIRONMENT AND CLIMATE CHANGE (AND IF RELEVANT DISASTER RESILIENCE)

There is no direct link to the EU environmental *acquis*. However, the action might have an impact on the environment and climate change including through increased emissions as a result of air travel and other means of transport to carry out consultations and coordination efforts such as workshops, conferences and other meetings. Furthermore, the printing and distribution of reports may also contribute to increased paper waste. As a result, the action will attempt to minimize its carbon footprint by encouraging virtual collaboration and usage of shared online platforms where appropriate, secure and available. When air travel is deemed necessary, carbon offset payments for air travel will be encouraged and supported. Furthermore, the action will principally focus on producing and disseminating electronic versions of reports, and only print when necessary in order to reduce paper waste.

Climate action relevant budget allocation: EUR 0
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6. SUSTAINABILITY

Sustainability has been mainstreamed in the action design and is a key outcome to be achieved. It is fully expected that the benefits provided by the action will continue to support improved results following the completion of the action.

SEESAC grounds all its activities on collected baseline data, identified priorities and secures endorsement and political support from domestic stakeholders as a precondition for action. Delivering sustainable project results is ensured by developing and fostering local ownership of project activities. This is achieved through setting up and institutionalising operating procedures, standardising approaches, and promoting regional cooperation and coordination as well as experience and best practices sharing.

7. COMMUNICATION AND VISIBILITY

Communication and visibility will be given high importance during the implementation of the action. The implementation of the communication activities shall be funded from the amounts allocated to the action.

All necessary measures will be taken to publicise the fact that the action has received funding from the EU in line with the EU communication and visibility requirements in force. All stakeholders and implementing partners shall ensure the visibility of EU financial assistance provided through IPA II throughout all phases of the programme cycle.

Visibility and communication actions shall demonstrate how the intervention contributes to the agreed programme objectives, as well as the benefits of the action for the general public. Actions shall be aimed at strengthening general public awareness and support of interventions financed and the objectives pursued. The actions shall aim at highlighting to the relevant target audiences the added value

and impact of the EU's interventions and will promote transparency and accountability on the use of funds.

Communication actions should aim to show the links between the funds invested and the policy priorities behind them. When relevant for a specific intervention envisaged under the action, the communication and visibility plan will be based on an agreed communication narrative and master messages customised for the different target audiences.

Communication actions should also ensure that all relevant stakeholders, and where possible, also final beneficiaries, are informed about donors' involvement, joint actions and their results. Effectiveness of communication activities may be measured, inter alia, through public surveys in the IPA II beneficiaries on awareness about the programme, its objectives and EU funding.

Visibility and communication aspects shall be complementary to the activities implemented by the Directorate-General for Neighbourhood and Enlargement Negotiations and the EU Delegations/Office in the field. It is the responsibility of the implementing partner(s) to keep the EU Delegations/Office and the European Commission fully informed of the planning and implementation of the specific visibility and communication activities.