



African Peace and Security Architecture

**APSA
Roadmap
2016 – 2020**

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© African Union Commission, Peace and Security Department,
Addis Ababa, December 2015

1st edition, December 2015

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Title photo

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Strategic Priorities and Indicators



Strategic Priority 1:
Conflict Prevention



Strategic Priority 2:
Crisis/Conflict Management



Strategic Priority 3:
**Post-Conflict Reconstruction
and Peace Building**



Strategic Priority 4:
Strategic Security Issues



Strategic Priority 5:
**Coordination and
Partnerships**



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List of Abbreviations

ACIRC	African Capacity for Immediate Response to Crises	EWS	Early Warning Systems
ACSRT	African Centre for Studies and Research on Terrorism	FATF	Financial Action Task Force
AfDB	African Development Bank	FIU	Financial Intelligence Unit
AFRIPOL	African Police Cooperation Mechanism	GBV	Gender-Based Violence
AIMS	Africa's Integrated Maritime Strategy	HR	Human Resources
AHSG	African Heads of State and Government	ICT	Information and Communications Technology
AML/CFT	Anti-Money Laundering/Combating the Financing of Terrorism	IDTFCP	Inter-Departmental Task Force on Conflict Prevention
APSA	African Peace and Security Architecture	IED	Improvised Explosive Device
ASC	African Standby Capacity	IGAD	Intergovernmental Authority for Development
ASF	African Standby Force	KMF	Knowledge Management Framework
ASI	African Solidarity Initiative	LEAs	Law Enforcement Agencies
AU	African Union	M&E	Monitoring and Evaluation
AUC	African Union Commission	MARAC	Early Warning Mechanism on Central Africa
AULOs	African Union Liaison Offices	MoU	Memorandum of Understanding on Cooperation
C3IS	Command, Control, Communication and Information Systems	MSU	Mediation Support Unit
CAAS	Conflict Alerting and Analysis Tools	NEPAD	New Partnership for Africa's Development
CAPCCO	Central African Police Chiefs' Committee	NGOs	Non-Governmental Organizations
CBOs	Community Based Organizations	OAU	Organisation of African Unity
CEN-SAD	Community of Sahel-Saharan States	PCNA	Post-Conflict Needs Assessment
CEWARN	IGAD Early Warning System	PCRD	Post-Conflict Reconstruction and Development
CEWS	Continental Early Warning System	PLANELMs	Planning Elements
CISSA	Committee of Intelligence and Security Services of Africa	PSC	Peace and Security Council
CLB	Continental Logistics Base	PSD	Peace and Security Department
CMCC	Continental Movement Control Centres	PSO	Peace Support Operations
COMESA	Common Market for Eastern and Southern Africa	PSP	Peace Strengthening Projects
COMWARN	COMESA Early Warning System	QIPs	Quick Impact Projects
ConOps	Concepts of Operations	RDC	Rapid Deployment Capability
COPAX	Council of Peace and Security in Central Africa	RECs	Regional Economic Communities
CSCPF	Continental Structural Conflict Prevention Framework	RECSA	Regional Centre For Small Arms
CSO	Civil Society Organization	RMCC	Regional Movement Control Centres
CSVA	Country Structural Vulnerability Assessments	RMs	Regional Mechanisms
CSVMS	Country Structural Vulnerability Mitigation Strategies	SADC	Southern African Development Community
DDR	Disarmament, Demobilization and Reintegration	SALW	Small Arms and Light Weapons
DDRCF	Disarmament, Demobilisation and Reintegration Capacity Programme	SARPPCO	Southern African Regional Police Chiefs Cooperation Organisation
DNFBPs	Designated Non-Financial Businesses and Professions	SOP	Standard Operating Procedure
DPA	Department for Political Affairs	SSR	Security Sector Reform
EAC	East African Community	SVA	Structural Vulnerability Assessment
EACWARN	EAC Early Warning System	TCC	Troop Contributing Countries
ECCAS	Economic Community of Central African States	TOC	Transnational Organized Crime
ECOWAS	Economic Community of West African States	ToR	Terms of Reference
ECOWARN	ECOWAS Early Warning System	TQM	Technical Quarterly Meeting
EU	European Union	UN	United Nations
EWR	Early Warning Reports	UXO	Unexploded Ordnance
		VPN	Virtual Private Network
		WAPCCO	West African Police Chiefs Committee Organization
		WMD	Weapons of Mass Destruction

Executive summary

In line with the Solemn Declaration on the 50th Anniversary of the Organization of African Unity/ African Union of the African Heads of State and Government, that was adopted at the meeting of the AU Assembly on 25 May 2013, and in order to substantially contribute to achieving the goals of the AU initiative on “Silencing of the Guns: Pre-requisites for realising a conflict-free Africa by the year 2020”, the “APSA Roadmap 2016-2020” is a strategic document, which builds on the achievements and challenges resulting from the implementation of the previous APSA Roadmap (2011-2013). The Roadmap is the result of an inclusive and participatory process involving different departments at the AUC and at the RECs/RMs.

The APSA Roadmap 2016-2020 provides a shared understanding of the results to be achieved by all APSA stakeholders, it articulates a shared understanding of the roles and functions each stakeholder involved in APSA is expected to play; it highlights a shared understanding of the need to increased collaboration and coordination among all stakeholders involved in APSA; and finally the roadmap is the most relevant tool to communicate APSA project plans and expected results to Member States, partners and other external actors.

With a focus on concrete activities and strategic objectives, this Roadmap aims at mapping out a way forward to enable the consolidation of gains made, and address the most pressing challenges, so as to make the African Peace and Security Architecture fully functional and operational, and in this way contribute effectively to the maintenance and preservation of peace and security in Africa.

The APSA Roadmap 2016-2020 details the AUC and RECs/RMs joint aims in five strategic priority areas: Conflict prevention (incl. early warning and preventive diplomacy), crisis/conflict management (incl. ASF and mediation), post-conflict reconstruction and peace building, strategic security issues (such as illegal flows of SALW, IEDs, WMD disarmament, counter-terrorism, illicit financial flows as well as transnational organised crime and cyber crime) and coordination and partnerships. In addition, cross-cutting issues are covered by the Roadmap.

Foreword

Fourteen years ago, the African Union (AU) started implementing the African Peace and Security Architecture (APSA) as articulated in the 2002 *Protocol Relating to the Establishment of the Peace and Security Council* (PSC) of the African Union. Since then, the Union has made significant progress, not only in establishing the APSA institutions and mechanisms, but also in increasingly utilizing them for the purpose of conflict prevention, management and resolution, with a view to promoting “peace, security, and stability on the continent”, as envisaged by the 2000 *Constitutive Act of the AU and in line with the aspirations of the Africa’s people*. This is all the more important given the nexus between peace, security and development. The *APSA Roadmap 2016 – 2020* presented here manifests the continued determination to ensure further progress, and paves the way for future collaboration between the AU, the Regional Economic Communities (RECs) and Regional Mechanisms for Conflict Prevention, Management and Resolution (RMs) to effectively address security issues and contribute to a more peaceful Africa.



The Roadmap is a strategic document, which builds on the achievements and challenges resulting from the implementation of previous APSA Roadmaps. It is based on the 2008 Memorandum of Understanding on Cooperation in the area of Peace and Security signed between the AU and the RECs/RMs in 2008. The Roadmap is in line with the Solemn Declaration adopted by the Assembly of AU Heads of State and Government *on the 50th Anniversary of the Organization of African Unity/African Union*, held on 25 May 2013, in Addis Ababa, Ethiopia. It further serves to achieve the goals of the AU’s initiative on *Silencing the Guns: Pre-requisites for realising a conflict-free Africa by the year 2020*, in order not to bequeath the burden of conflicts to the next generation of Africans. This Roadmap is the result of an inclusive and participatory process involving different Departments at the AU Commission (AUC) and at the RECs/RMs.

The APSA Roadmap 2016 – 2020 provides a shared understanding of the results to be achieved by all APSA stakeholders, articulates a shared understanding of the roles and functions each stakeholder involved in APSA is expected to perform, highlights a shared understanding of the need for increased collaboration and coordination among all stakeholders involved in APSA, and finally, it is the most relevant tool to communicate APSA project plans and expected results to Member States, partners and other external actors.

With a focus on concrete activities and strategic objectives, this Roadmap aims at mapping out a way forward to enable the consolidation of gains made, and address the most pressing challenges, so as to make the APSA fully operational, and in this way contribute effectively to the maintenance and preservation of peace, security and stability in Africa. The Roadmap details the joint aims of the AUC and the RECs/RMs in five strategic priority areas: Conflict prevention (including early warning and preventive diplomacy), crisis/conflict management (including the African Standby Force and mediation), post-conflict reconstruction and development and peace-building, strategic security issues (such as proliferation of small arms and light weapons, disarmament, counter-terrorism and transnational organised crime among others), and coordination and partnerships. In addition, cross-cutting issues – such as gender-mainstreaming in peace and security and climate change – are addressed by this Roadmap.

Building on the conclusions of the workshop of the AU-RECs/RMs senior officials and experts held on 19 – 21 November 2013 in Abuja, Nigeria, the 10th meeting of AU-RECs/RMs senior officials held on 20 – 21 November 2014 in Cairo, Egypt, as well as the outcome of the 8th PSC Retreat on enhancement of cooperation between the PSC and the RECs/RMs held on 14 – 16 September 2015 in Abuja, Nigeria, the AU and RECs/RMs senior officials finalised this APSA Roadmap 2016 – 2020 at their 11th meeting held on 23 – 25 November 2015 in Harare, Zimbabwe.

The APSA Roadmap 2016 – 2020 consists of an introduction, followed by a section that recalls its legal and institutional dimension and a brief review of APSA implementation and progress made so far. In the main part of the Roadmap, APSA strategic priorities and related indicators are detailed. The Roadmap then concludes with brief observations on monitoring and evaluation. A detailed results framework for the various strategic priorities is annexed to the Roadmap.

Making the APSA fully operational through implementing this Roadmap, will further contribute to the capacitation of the AU and the RECs/RMs to effectively address the scourge of conflicts and crises in the continent, and promote lasting peace, security and stability in Africa.



Ambassador Smaïl Chergui
AU Commissioner for Peace and Security

Introduction

At the meeting of the African Union Assembly on 25 May 2013, African Heads of State and Government (AHSs) adopted a Solemn Declaration on the 50th Anniversary of the Organization of African Unity/African Union (OAU/AU). In this landmark declaration, the Assembly expressed its determination to achieve the goal of a conflict free Africa, to make peace a reality for all people and rid the continent of civil wars, civil conflicts, human rights violations, humanitarian disasters and violent conflicts, and to prevent genocide. The African leaders also pledged not to bequeath the burden of conflicts to the next generation of Africans and undertook to end all wars on the continent by 2020, a commitment that has taken practical expression in the AU initiative on *“Silencing of the Guns: Pre-requisites for realising a conflict-free Africa by the year 2020”*.

As a key component of Agenda 2063, *“Silencing the Guns by 2020”* underlines the necessity of making the continent’s mechanisms for conflict prevention, management and resolution operational at all levels – at the heart of which is a fully functional and operational African Peace and Security Architecture (APSA). Following the recommendations of the APSA Roadmap 2011-2013, priority has been given to pushing ahead with the operationalization of all pillars of APSA, including those tasked with conflict prevention, peacemaking, peacekeeping and peace support operations, national reconciliation and post-conflict reconstruction and development. These are in line with the Strategic Plan of the African Union Commission 2014-2017 (AUC), which posits that “the overall goal of achieving an integrated, prosperous and inclusive Africa at peace with itself playing a dynamic role on the continent and global arena cannot be realized if durable peace and stability is not established”. In addition, improved harmonisation, collaboration and coordination between the AU and the Regional Economic Communities (RECs) and Regional Mechanisms for Conflict Prevention, Management and Resolution (RMs) in the full operationalization of APSA remains a key strategic and operational priority.

The development and implementation of the APSA Roadmap 2016-2020 is guided by the following principles:

- The Roadmap is informed and driven by the spirit of collective security and self-reliance.
- The overarching goals and aspirations of the Roadmap are anchored in, and contribute towards achieving the objectives of *“Silencing the Guns by 2020”* and the first 10-Year Implementation Plan of the Union’s *“Agenda 2063”*.
- The Roadmap aims at strengthening ownership, consensus and synergy between the AU and the RECs/RMs.
- Sustainability is at the heart of the APSA Roadmap.
- The Roadmap is results-oriented.
- The AU maintains a leadership role in the implementation of the APSA Roadmap 2016-2020.

The *“APSA Roadmap 2016-2020”* is a strategic document, which builds on the achievements and challenges resulting from the implementation of the previous APSA Roadmap (2011-2013). This draft Roadmap aims at mapping out a way forward to enable the consolidation of gains made, and address the most pressing challenges, so as to make APSA fully functional and operational, and in this way contribute effectively to the maintenance and preservation of peace and security in Africa.

This Roadmap is the result of an inclusive and participatory process involving different departments at the AUC and at the RECs/RMs. It fulfils five major functions, which might be summarized as follows:

- First, it *provides a shared understanding of the results to be achieved by all APSA stakeholders*. The AUC and the RECs/RMs have collectively developed the roadmap and its results frameworks, and this document reflects a collective agreement on the strategic priorities and on the objectives that need to be reached during the period 2016-2020.
- Second, the roadmap *articulates a shared understanding of the roles and functions each stakeholder involved in APSA is expected to play*. APSA is intended to effectively deal with a wide range of issues, conflicts and crises, whose nature, intensity and geographical scale vary greatly and require specific and adapted responses. The clarification, common understanding of and the respect for the complementarity between the roles and functions of each stakeholder is crucial to the effective implementation of APSA.
- Third, the roadmap *highlights a shared understanding of the need to increased collaboration and coordination among all stakeholders involved in APSA*. Not only does APSA deal with a wide range of issues, but it also involves a wide range of stakeholders, of organisations with their own history, mandate, priorities and competences. Bringing all these stakeholders to work in a coordinated manner is a key condition to increase the probability that the expected results might be achieved.
- Finally, the roadmap is the most relevant tool to *communicate APSA project plans and expected results to Member States, partners and other external actors*. APSA is, indeed, supported by a large number of technical and financial partners. Moreover, APSA is of great interest for Member States and a multitude of actors (other continental bodies, academia, etc.). Having a single communication tool is of utmost importance for clarity and transparency purposes and guide interventions on the continent.

APSA Legal and institutional dimensions

At the heart of APSA are the 2000 Constitutive Act of the African Union and the 2002 Protocol Relating to the Establishment of the Peace and Security Council (PSC). APSA aims to outline the system (roles, instruments and procedures) by which the AU, the RECs as well as the RMs can realise their conflict prevention, management and resolution mandates. The APSA, as enshrined in the PSC Protocol, embraces an expanded and comprehensive agenda for peace and security that includes (direct and structural) conflict prevention, early warning and preventive diplomacy, peace-making and peace building, the encouragement and promotion of democratic practices as well as intervention and humanitarian action and disaster management.

Before the transition of the Organization of African Unity (OAU) to the African Union, an OAU Mechanism for Conflict Prevention, Management and Resolution existed (it was established July 1993 in Cairo), to provide the Organization with instruments capable of enabling it to deal with the scourge of conflicts and to facilitate collective African action in matters of conflict management. However, the scope and gravity of the conflicts, as well as their complex nature, soon revealed the limitations of the Mechanism, which among other things, was not equipped with the means for the deployment of peace keeping operations, a responsibility left exclusively to the United Nations (UN).

The AU recognizes eight RECs, including:

- CEN-SAD – Community of Sahel-Saharan States
- COMESA – Common Market for Eastern and Southern Africa
- EAC – East African Community
- ECCAS – Economic Community of Central African States
- ECOWAS – Economic Community of West African States
- IGAD – Intergovernmental Authority on Development
- SADC – Southern African Development Community
- UMA - Union du Maghreb Arabe

These RECs are also key drivers of African economic and political integration as defined in the 1991 Abuja Treaty.

The path that led to the creation of APSA is rooted in the genesis of the African Union. Concerned by the great number of conflicts that erupted in Africa and their devastating impact on African countries and key events such as the Rwanda genocide, African leaders declared their determination to deal with both inter- state and intra-state conflicts. The promotion of peace and security, therefore, became one of the key objectives of the AU as enshrined in its Constitutive Act. It was adopted on 11 July 2000 at the 36th Ordinary Summit of the OAU in Lomé, Togo; and the African Union was subsequently launched at a summit held in Durban, South Africa, on 9 July 2002. At the same time the RECs/RMs were consolidating their respective legal arrangements. The African Heads of State and Government recognized the negative consequences of violent conflicts on civilians and the impact on socio-economic development and as a consequence enshrined in the Constitutive Act that the Union shall promote peace, security and stability on the continent; and promote democratic principles and institutions, popular participation and good governance. The adoption of the Constitutive Act marked a radical shift from the cardinal OAU principle of national sovereignty and non-intervention in national affairs. Although the Constitutive Act upholds the principle of non-interference, it also reserves the right of the Union “to

intervene in a Member State in respect of grave circumstances namely: war crimes, genocide and crimes against humanity” (article 4h). The Constitutive Act also articulates the inseparable link between development and security, stating in its preamble that “the scourge of conflicts in Africa constitutes a major impediment to the socio-economic development of the continent and of the need to promote peace, security and stability as a prerequisite for the implementation of our development and integration agenda”. On the relationship between the Union on the one hand and the RECs/RMs on the other, the Constitutive Act underlines the need to “coordinate and harmonize the policies between the existing and future Regional Economic Communities for the gradual attainment of the objectives of the Union.”

In furtherance of this new and clear paradigm on security and development, the Union adopted the Protocol Relating to the Establishment of the Peace and Security Council (PSC Protocol), which entered into force on 26 December 2003. The Protocol embraces an expanded and comprehensive agenda for peace and security that includes conflict prevention, early warning and preventive diplomacy, peace-making, peace support operations and intervention, peace building and post-conflict reconstruction, humanitarian and disaster management. It establishes the PSC as a standing decision-making organ for the prevention, management and resolution of conflicts in the continent and to facilitate timely and efficient response to conflict and crisis situations in Africa. The PSC is supported by further APSA pillars, namely: the Panel of the Wise, the Continental Early Warning System (CEWS), the African Standby Force (ASF) and the Peace Fund. There is a complimentary African Governance Architecture (AGA) that is based on the African Charter on Democracy, Elections and Governance. It was adopted in January 2007 and entered into force in February 2012.

Article 16 of the PSC Protocol deals with the relationship between the AU and the RMs. It states that the RMs are an integral part of APSA. Article 16 furthermore stipulates that with respect to conflict prevention, peacemaking and peacebuilding, there shall be regular exchange of information, close harmonization, coordination, cooperation and effective partnership between the PSC and the RMs. In addition, the RECs are a constituent part of this continental architecture, and are expected to play a set of vital functions. They are the building blocks of the AU and recognized in the PSC Protocol as part of the overall continental security architecture. In January 2008 a Memorandum of Understanding on Cooperation (MoU) in the area of peace and security between the African Union, the RECs and the Coordinating Mechanisms of the Regional Brigades of Eastern Africa and Northern Africa was signed to provide the framework for cooperation in order to strengthen coordination towards their shared goal of ridding the continent of the scourge of conflicts and laying the foundation for sustainable peace, security and stability on the continent.

Progress made in implementing APSA

APSA implementation has constantly been reviewed by the PSC. It has also been assessed externally twice, 2010 and 2014. The 2010 assessment “Moving Forward Africa” (the so-called Fisher report) recognised progress particular in those areas where roadmaps had been adopted, i.e. the ASF and CEWS. However, the report also noted that there remained challenges with regard to the vertical integration of APSA (i.e. between the Union and the RECs/RMs) and the limited levels of coordination between other pillars. It also highlighted the need for increased horizontal integration (i.e. within the AUC itself). Various components were developing at different paces, and the level of horizontal coordination had been limited. In addition challenges with regard to APSA’s sustainability and subsidiarity were identified. This assessment has translated into the APSA implementation roadmap for 2011-2013.

With the support of partners, the AU and the RECs used the period 2007 to 2011 to build the Union’s and REC/RM’s capacity for the prevention, management and resolution of conflicts. In particular, the AU and the RECs/RMs focused on developing the APSA pillars. These efforts enhanced the capacity of the Union and RECs/RMs in designing and implementing conflict early warning systems; strengthened these institutions’ preventive diplomacy capabilities and the planning and conduct of Peace Support Operations (PSOs); and set out to operationalize the ASF by providing the ASF at Union and RECs/RMs levels with the required staff, training and tools to work with. The aim of the APSA Roadmap 2011-2013 was therefore set to achieve the full operationalization of APSA. To this end, significant progress has been made in the operationalization of the APSA as documented in the 2010 and 2014 APSA assessment reports.

The 2014 APSA Assessment, which was tabled in March 2015, mapped out key priorities that are being addressed in the current APSA Roadmap. The Report addresses the following topics: the main APSA pillars, namely the PSC, the Panel, the ASF, CEWS and the Peace Fund; the AU’s strategic partnerships on peace and security with the RECs/RMs, with the UN and with the European Union (EU); mediation and preventive diplomacy; gender, peace and security; disarmament, demobilization and reintegration (DDR); security sector reform (SSR); maritime safety and security; counter-terrorism; climate change and security; the AU Border Programme; Post-Conflict Reconstruction and Development (PCRD); the AU Liaison Offices in conflict and post-conflict countries; engagement with Civil Society Organizations (CSOs); donor assistance to APSA; the RECs/RMs’ capacity-building needs for the operationalization of APSA; and the APSA Roadmap.

Notably, the following progress has been made with regard to the five APSA pillars and some other important policy fields.

1. Peace and Security Council

The PSC has become the centre of major decision-making on peace and security on the continent and it is viewed as such by the international community. The PSC provides leadership on peace and security challenges on the continent. It holds meetings and briefing sessions on a timely basis to address conflict and crisis.

The workload of the PSC has grown exponentially because of its visibility and its leadership and coordination role on the continent on issues of peace and security. The PSC has contributed to the resolution of many conflicts in the continent, inter alia in Somalia, Burundi, Mali, the Demo-

cratic republic of the Congo, Comoros, Madagascar, Côte d'Ivoire and actively involved with the relevant RECs to address threats and conflicts in their regions, for instance in the Central African Republic (CAR), Guinea Bissau, Sudan, South Sudan, Guinea, Niger, Kenya and Mauritania.

What remains to be addressed is the absence of an enforcement and compliance mechanisms with regard to the implementation of decisions made; the low level of interaction between the PSC and similar structures at the REC level; interaction between the PSC, the Panel of the Wise and the Chairperson's Special Envoys, Representatives and Mediators needs to be structured; and the increasing work load of the PSC Secretariat needs to be addressed.

2. Early Warning

Early Warning Systems (EWS) are established both on the continental and regional levels. The Continental Early Warning system (CEWS) at Union level, regional early warning systems of the Intergovernmental Authority for Development (IGAD: CEWARN), the Economic Community of West African States (ECOWAS: ECOWARN), the East African Community (EAC: EACWARN), the Common Market for Eastern and Southern Africa (COMESA: COMWARN), the Economic Community of Central African States (ECCAS: MARAC). The Southern African Development Community (SADC) early warning system is intelligence based. CEWS, CEWARN and ECOWARN have been rather functional for some time. The early warning systems have been established to provide decision makers at continental level (PSC, the Chairperson, Commissioner and Director of Peace and Security) and at regional level with timely information, analysis and response options.

The CEWS and RECs have made considerable progress in terms of putting the necessary infrastructure, methodology and systems in place. CEWS continuously monitors and gathers information through its Situation Room, producing various reports, including early warning reports, situation updates, flash reports and weekly updates. The CEWS is making efforts to enhance coordination with AUC Peace and Security Department (AU PSD) Divisions and programmes. An Inter-Departmental Task Force on Conflict Prevention (IDTFCP) has been set up to facilitate dialogue among AUC Departments working on conflict prevention, more specifically structural conflict prevention. CEWARN, COMWARN and ECOWARN, too, have started disseminating EWS to decision-makers.

Coordination between CEWS and the EWS of the RECs continues through regular technical meetings, which are held twice a year. To date, 16 meetings have been held which discussed and reviewed, among other things, the customisation and sharing of CEWS tools as well as joint trainings on Strategic Conflict Assessments. Staff exchange visits and technical support programmes have also been carried out. CEWS continued to provide support in the establishment and strengthening of the EWS of AU Member States to enhance collaboration. Engagement with CSOs has been initiated through a workshop at the Union and the elaboration of modalities for collaboration. Collaboration with the UN (Cluster on conflict prevention), EU (Joint Research Centre) and the World Bank has also been established. Improving connectivity between CEWS and the REC EWS is in progress, three RECs have been connected and the others are in the process of being connected to the Union's VSAT (very small aperture terminal) network or other alternative means. CEWS and the RECs are in constant communication through other means, including the CEWS online portal. Progress has also been made in the REC-to-REC cooperation, particularly between CEWARN, EACWARN and COMWARN. The EWS of the Union and the RECs have developed methodological systems of monitoring to help establish a baseline for conflict analysis. The level of harmonisation and coordination between the AU and RMs has made tremendous progress and would be maintained and strengthened. The individual EWS of most RECs have made major advances.

However, some challenges remain to be vigorously addressed, including the weak linkage between early warning and early response by decision-makers; the gathering of non-adequate data due to the ever-changing conflict dynamics; the low connectivity between the CEWS and the EWS of the RECs; the lack of connectivity between National EWS and REC EWS; and the variation of levels of operationalization of various EWS at the level of the RECs.

3. Preventive Diplomacy and Mediation

In its mandate to perform preventive diplomacy functions, the PSC is supported by the AUC Chairperson, which must, under its authority and in consultation with all parties involved in a conflict, deploy efforts and take all initiatives deemed appropriate to prevent, manage and resolve a dispute. Indeed, the chairperson can, at his/her own initiative or when so requested by the PSC, use his/her good offices, either personally or through special envoys, special representatives, members of the AU Panel of the Wise or RECs/RMs, to prevent potential conflicts and resolve those that do occur. In exercising his/her powers, the chairperson is assisted by the Commissioner for Peace and Security and PSD.

In terms of structured mediation, the AUC Chairperson has frequently appointed special envoys and special representatives to act as the organisation's mediators. Mediation processes are by their very nature intensive, medium-to-long-term commitments, requiring a permanent, flexible and time-consuming engagement. Not only are the situations under mediation complex and protracted, the very environments within which mediation occurs are at times complex, often with a number of organisations and individuals involved (or wishing to be involved). There are currently approximately 25 high-level representatives, special envoys and special representatives deployed across the continent, many of whom act as mediators.

As a preventive diplomacy structure, the Panel of the Wise was constituted under Article 11 of the PSC Protocol to support the efforts of the PSC and those of the AUC Chairperson, particularly in the area of conflict prevention. The Panel is therefore an integral part of the AU preventive diplomatic framework.

The Panel has over the years focused on preventive diplomacy missions, in particular to countries undergoing election processes. In these missions, Panel members provide advice, open channels of communication, carry out fact-finding missions, undertake shuttle diplomacy and promote the adoption of confidence-building measures, among others. In addition, the Panel has included a thematic approach to its work and published a series of documents relating to election related violence, women and children in armed conflict, non-impunity, truth, justice and reconciliation, and strengthening governance for peace, security and stability.

The RECs are developing or have developed corresponding structures to the AU Panel of the Wise. SADC has established a mediation, conflict prevention and preventative diplomatic structure that includes a Panel of Elders and a Mediation Reference Group. ECOWAS has established the Council of the Wise and is in the process of creating a mediation facilitation unit. The EAC has decided to establish a Panel of Eminent Persons and is in the process of establishing a mediation unit. COMESA has established as part of its preventive diplomatic strategy, a Committee of Elders. In the 2015 crisis in Burundi, COMESA and EAC collaborated closely on mediation. The Community of Sahel-Saharan States (CEN-SAD) has established the Permanent High-Level Mediator for Peace and Security. IGAD has established a Mediation Unit and uses its committee of Ambassadors for mediation. And ECCAS is in the process of developing its mediation infrastructure with the assistance of the Union.

In 2013 the AU and the RECs have established the Pan-African Network of the Wise (PanWise) that aims to bring together relevant mediation actors of the Union, the RECs and African civil societies in order to enhance collaboration between the structures and harmonise approaches of the AU and RECs through workshops, joint missions and research.

The establishment of PanWise represents a great opportunity for developing and improving cooperation in the context of the African peace and security framework. Collaboration between the Panel of the Wise and the RECs has been tentative, but effective. ECOWAS and the Panel have been engaged in a number of preventive diplomacy and good offices missions, paying particular attention to election-related issues. The level of collaboration with the COMESA Committee of Elders is also very high. The Panel has progressively and effectively established links with all the RECs and has initiated several consultations with RECs to explore modalities of strengthening national capacities and establishing linkages between the national and regional and continental efforts in this regard. Coordination and collaboration efforts being undertaken should be encouraged and further institutionalised to avoid duplication of efforts, overlapping preventive diplomatic processes. The increased operationalization of PanWise is absolutely necessary, especially in the spirit of Agenda 2063.

Challenges remain with regard to inadequate levels of interaction between the Panel of the Wise, the PSC and the Chairperson; inadequate involvement of members of the Panel of the Wise in AU-led structured mediation engagements (with AU special envoys, representatives and mediators); the slow process of operationalization of PanWise; and, finally, the insufficient capacity of the Panel of the Wise Secretariat at AU.

4. The African Standby Force

It should be noted as underlined in the ASF Roadmap III that a great deal has been achieved so far in the development of the ASF. These achievements include a suite of common policy documents, an annual continental training implementation and coordination meeting, harmonised training standards and annual training directives that guide Member States and RECs/RMs and facilitate utilization of training centres in implementation of training programmes and standby forces that can be used collectively to address conflicts on the continent.

Good progress has also been made towards developing the Rapid Deployment Capability (RDC) concept. Considerable progress has equally been made in the development of the Civilian and Police Components of the ASF, notably in the area of policy development and the establishment of management capabilities at the strategic level of the AU and the operational level of the RECs/RMs. However, the establishment of the civilian component has continued to lag behind the military and police components.

The ASF assessment report recognises that on the overall, the capacity of African peace support operations has increased in numbers and quality. Implementation of the ASF Action plan 2014-2015 recommended by the independent team of experts has been a good basis and direction to ensure Full Operational Capability for the ASF by the end of 2015. Steps have also been taken to harmonise the ASF and the African Capacity for immediate Response to Crises (ACIRC), including the incorporation of ACIRC into the Amani Africa II Field Training Exercise that is aimed at validating the operational readiness of the ASF.

This is in line with the objective of the Union and the 25th AU Assembly’s decision to ensure the development of an ASF capacity that is able to deploy rapidly, with sustainable administrative and logistics support as well as management capabilities. However, the challenge of an adequate structure, framework and system to support the planning, deployment, management and sustenance of AU PSOs on a round-the-clock basis remains.

5. Other APSA Programmes

a. Post-Conflict Reconstruction and Peace Building

In its 10th Anniversary Declaration of May 2014, the PSC called for a stronger and more sustained support to countries emerging from conflict with regard to reconciliation and PCRD. The Declaration stresses the importance of consolidating the peace and security gains in the post-conflict phase to prevent relapse into conflict. The importance of post-conflict reconstruction has also been underlined in the Solemn Declaration on the 50th Anniversary of the OAU/AU. The need to support sustainable peace, stability and development in countries that have emerged or emerging from conflict through the APSA is of paramount importance.

The focus of the AUC has been on developing the partnerships to operationalize the PCRD Policy (2006) and put into place the necessary mechanisms and consultative platforms for its implementation. At the AUC-level, there has been a notable increase of joint activities with various Departments of the Commission, particularly with the Department of Political Affairs and of Social Affairs with a view to leveraging the comparative advantage of the various Departments on PCRD. In that regard, in September 2014, the AUC held a joint meeting in Bangui, CAR, on the Union’s support to the transition plan prepared by the CAR authorities. At the national level, the PCRD provided the African Union Liaison Offices (AULOs) with timely support through the funding of Peace Strengthening Projects (PSPs) aimed at addressing early recovery through support to reconciliation processes, peace building and rehabilitation/construction of small infrastructure projects at community level.

The heightened pace of awareness towards the mobilization of alternative resources for Africa’s development as epitomised in the convening of an African Solidarity Conference at level of Heads of State and Government held on 1 February 2014, in Addis Ababa, Ethiopia, as part of activities marking 50th anniversary of the OAU/AU was a major achievement. A total of USD 3 million was pledged, however, the pledges still need to materialize.

AUC is currently establishing a funding mechanism for the African Solidarity Initiative (ASI). “Champion countries” are being mobilized to steer the process of further resource mobilization from within Africa. The PCRD is assessing its support to the African Union Youth Volunteer (AUYV) programme with a view to enhancing the collaboration to respond to PCRD strategy and priorities in countries emerging from conflict. Discussions on the location of the AU Centre for PCRD have reached final stages.

At regional level, the RECs as building blocks for peace and security in Africa must be able to articulate clear regional positions on relevant PCRD efforts. However, most of the RECs lack the capacity to undertake this critical role. The AUC is contributing to the establishment of PCRD units and formulation of policies, strategies and programmes at REC level.

Much work has been done with respect to Security Sector Reform (SSR). The AU Security Sector Policy Framework provides a framework for Member States and the RECs in the formulation, implementation, monitoring and evaluation of SSR processes. The AUC has conducted series of SSR orientation, sensitisation and training at various levels throughout the continent. The AUC undertook assessment missions to Madagascar and CAR and deployed experts to Comoros, CAR and South Sudan. Most RECs are also promoting governance through SSRs and taking initiatives in their various Member States with the active collaboration with internal partners. The joint AU, ECOWAS, EU and UN Security Assessment Mission to Guinea Bissau conducted in March 2015 stands as a good example.

In addition, the AU has developed an AU Disarmament, Demobilisation and Reintegration Capacity Programme (AU DDRCP). The objective of the AU DDRCP is to strengthen capacities within the AUC, its Member States, RECs and RMs. The AU DDRCP was officially launched in 2013. The AUC is already providing assistance to national DDR processes pursuant to requests made by member states. It collaborates closely with international partners. The capacity of the AU and RECs would continue to be enhanced in order to address specific request from Member States.

Remaining challenges include the complex nature of post-conflict issues and the level of resources PCRD requires; lack of coordination to align PCRD efforts with other peace and security programs both at the AU and RECs level; understaffed Unit at the level of the AUC and limited financial resources; the low level of capacity at the RECs levels and lack of shared learning between the RECs; and aligning regional peace building objectives to national stabilization plans.

b. Strategic Security Issues

It is recognized that in the past 50 years since the establishment of the OAU, countries in all regions have experienced varying degrees of state fragility, caused by poor economic management, ethnic conflict and civil wars, and natural and man-made disasters as indicated in the Agenda 2063 framework document. Although African countries are stronger institutionalized today, the threat of state fragility lingers on through important “neighbourhood effects” such as narcotic drugs, maritime piracy, human trafficking and small arms proliferation. The Solemn Declaration on the 50th Anniversary of the OAU/AU expressed the determination of the African Heads of State and Government to eradicate recurrent and address emerging sources of conflict, including piracy, trafficking in narcotics and human beings, all forms of extremism, armed rebellions, terrorism, transnational organized crime and new crimes such as cybercrime. In its 10th Anniversary Declaration the PSC also noted with concern the growing threat of terrorism in Africa and called on the AUC and the Secretariats of the RECs/RMs to come up with a comprehensive Union strategy for addressing the phenomenon of extremism, terrorism and other emerging threats to peace and security in Africa such as piracy, human trafficking, drug trafficking, religious tensions, and the spread of small arms and light weapons. Furthermore, the PSC calls for the development of mechanisms within APSA to deal with these emerging threats.

The AU and the RECs have developed a number of policies, instruments and tools to address these emerging threats. There are the AU Small Arms and Light Weapons (SALW) Proliferation Strategy and, at the RECs level, strategies on small arms proliferation, such as the Nairobi Protocol, the Southern Africa Firearms Protocol, the ECOWAS SALW Convention, the Kinshasa Convention for the Control of SALW and their Ammunition in Central Africa as well as the Regional Centre For Small Arms, the AU Counter Terrorism model law developed by African Centre for Studies and Research on Terrorism (ACSRT), and the AUC counter terrorism framework. EAC has

adopted a SALW policy. Some RECs have developed strategies on counter terrorism such as the ECOWAS political declaration on a common position against terrorism, the EAC counter-terrorism strategy, and IGAD's Mutual Legal Assistance and Extradition Law.

On maritime security, the AU has adopted the 2050 Africa Integrated Maritime Strategy (2050 AIMS), the governments of West and Central Africa have adopted a declaration on maritime safety and security in their common maritime domain. The Southern and Eastern African RECs, COMESA, EAC, and IGAD together with the Indian Ocean Community have developed and are implementing a regional maritime programme to combat piracy.

However, some challenges remain, such as the need to develop greater cooperation and harmonization of continental efforts in combatting terrorism and implementation of the continental frameworks and strategies as well as an effective and appropriate system of follow-up mechanisms; the integration of maritime security into the APSA; and the implementation of existing agreements on SALW.

6. Cross cutting Issues

Gender mainstreaming in peace and security: UN Security Council Resolution 1325 is the cornerstone on women, peace and security. This global framework is supplemented at the continental level by the AU Solemn Declaration on Gender Equality in Africa which calls for the need to ensure the full and effective participation and representation of women in peace processes including the prevention, management and resolution of conflicts and post-conflict resolutions in Africa. The AU Gender policy seeks to enhance the role of women in creating an enabling, stable and peaceful environment for the pursuit of Africa's development agenda.

The RECs and their Member States have developed gender policies, adopted gender declarations and action plans that guide their gender mainstreaming programmes. The AU has launched a major five-year Gender, Peace and Security Programme 2015-2020. The Programme was mapped out through a long process of consultation with the RECs and CSOs. Since the launch of the Programme, the AU, RECs and CSOs have together developed annual work plans for 2015 and 2016. The work plans would continue to address challenges relating to capacity constraints in implementing and monitoring the Programme at Union and RECs levels, the implementation of joint activities, support given to AU field missions and, the Special Envoy on Women Peace and Security in discharging her duties. The Programme is built on high level of cooperation and collaboration among the AU, RECs, CSOs and relevant partners.

Still, appropriate indicators for gender mainstreaming need to be developed as well as the necessary skills to use the relevant tools to monitor the indicators. In addition, staffing levels need to be scaled up to implement the gender programme.

Climate change: The manifold consequences of climate change represent another of the many threats facing Africa. Indeed, climate change is viewed by many as a threat multiplier that exacerbates security trends, tensions and stability. The AU is already taking steps to address the effects of climate change through the AU Department of Rural Economy and Agriculture. The Department administers various programmes on climate change, including the Monitoring of Environment and Security in Africa. The Commission supports the African Regional Strategy for disaster risk reduction management by the New Partnership for Africa's Development (NEPAD). The Commission, the African Development Bank (AfDB) and the UN Economic Commission for Africa are supporting a major initiative, the Global Climate Change Observing System – Africa. The African Climate Policy Centre, which addresses the need for greatly improved climate infor-

mation for Africa and strengthening the use of such information for decision making for Africa, is operational. There are also several regional initiatives on climate change in Africa like the regional climate change programme for Southern Africa, which has developed GIS (Geographic Information System) risk and vulnerability guidelines for SADC. ECOWAS is attempting to do the same. Structures for climate change and early warning exist in Africa. How these structures would collaborate with the CEWS and the regional early warning mechanisms would need to be studied.

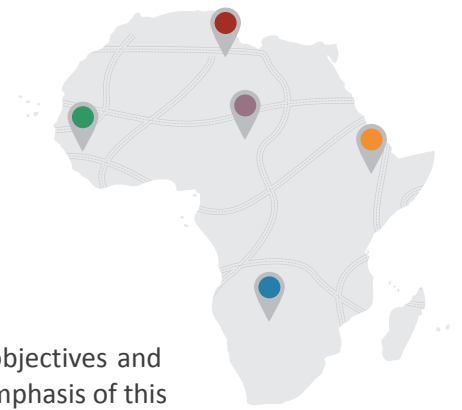
Enhanced coordination and collaboration between the African Union and REC/RMs structures that deal with climate change on the one hand and the early warning and conflict prevention functions of the PSD on the other remain a challenge.

7. Relations between the AU and RECs/RMs in peace and security

The RECs are the building blocks of the African Union and recognized in the PSC Protocol as part of the overall security architecture of the African Union. The MoU between the AU, the RECs and the RMs of the Regional Standby Forces of Eastern Africa and Northern Africa provides the framework for cooperation in order to strengthen coordination towards their shared goal of ridding the continent of the scourge of conflicts and laying the foundation for sustainable peace, security and stability on the continent.

The level of cooperation and coordination between the AU and RECs/RMs is very intensive, particularly in the operationalization of APSA which is one of the objectives of the MoU. Liaison Officers to the AU from the RECs/RMs have been established as well as AU Liaison officers to the RECs/RMs. The establishment of the Liaison Offices by the AU and the RECs/RMs has strengthened linkages between the AU and the RECs/RMs, improving the exchange of information. The Senior Officials of the AU and RECs/RMs meet regularly to strengthen coordination and harmonization in the area of peace and security and discuss the status of the implementation of the MoU. A Joint Task Force comprising AU Officials and RECs /RMs Liaison Officers to the AU has been established to work out modalities to ensure implementation of the existing policy frameworks regarding AU-RECs/RMs collaboration and coordination in the area of peace and security.

In order to fully optimize the partnership between the AU and the RECs/RMs, the principles of subsidiarity, complementarity and comparative advantage need to be applied. Moreover, the PSC, in a Communiqué issued after its 477th meeting held on 18 December 2014, underscores the importance of building more collaboration and synergy between the PSC and RECs/RMs in the promotion of peace and stability in Africa as envisaged in the PSC Protocol. The Council stressed the need to uphold the principles of subsidiarity and comparative advantage in a way that strengthens the efforts of Africa to achieve durable peace and sustainable development. The PSC also endorsed – through its Communiqué issued after the Council's 549th meeting held on 9 October 2015 – the conclusions of a retreat on the enhancement of cooperation between the PSC and RECs/RMs held in Abuja, Nigeria from 14 to 16 September 2015, particularly relating to the issue of conflict mediation.



The APSA Roadmap 2016–2020: Strategic Priorities and Indicators

This Roadmap is based on an agreed planning methodology, with clear objectives and priorities for 2016-2020 and the main strategies for achieving them. The emphasis of this Roadmap is on implementation and an adequate monitoring and evaluation mechanism. Another principle that guided the development of the Roadmap is the strong need for communication, cooperation and coordination between the AU, the RECs/RMs and other international actors. As far as possible, the facilitation of synergies would be encouraged. The Union and the RECs/RMs have limited resources, and therefore every effort should be made to avoid duplication and overlaps, which lead to inefficient use of resources.

The Roadmap is built on five thematic priorities with clear broad objectives defined for each thematic priority covering the conflict prevention, management and resolution cycle, as indicated below and as elaborated in the accompanying framework:

- 1 Strategic Priority 1: **Conflict Prevention**
- 2 Strategic Priority 2: **Crisis/Conflict Management**
- 3 Strategic Priority 3: **Post-Conflict Reconstruction and Peacebuilding**
- 4 Strategic Priority 4: **Strategic Security Issues**
- 5 Strategic Priority 5: **Coordination and Partnerships**

1 Strategic Priority 1: Conflict Prevention



Conflict prevention involves, simultaneously, a direct and operational focus of intervening before violence occurs as well as a systematic, strategic focus of addressing the root, proximate, and structural causes of conflict. Effective preventive action is the accurate identification of factors and timely combined application of structural and direct prevention measures. Within the context of APSA, the development and implementation of early warning systems at the AU and the RECs have been priority activity areas, marked by the strengthening of existing EWS as well as the development of an early warning capability at some of the RECs where this capability did not exist. These developments have been guided by the principles of comparative advantage, non-duplication of efforts as well as harmonisation, coordination and collaboration as conflict prevention is enhanced by coordination through collaborative data gathering and joint analysis by relevant APSA stakeholders.

Central to APSA's fulfilment of direct and structural prevention is the coordination and collaboration between the EWS in place and/or under operationalization at the AU and the RECs/RMs, the various panels of the wise/panels of elders (at AU and RECs/RMs) mandated with conflict prevention responsibilities and the high level decision-makers that in each institution are tasked with conflict prevention responsibilities (at AU, the AU PSC and the AUC Chairperson).



The overall strategic objective of strategic priority 1 is **to contribute to effective, coordinated and timely direct and structural prevention of conflicts and crises by the AU and the RECs/RMs.**

Strategic Objective 1 Indicators

- Evidence of enhanced capacity of CEWS and EWS of the RECs/RMs to individually and collaboratively monitor, collect and analyse data on the basis of tools and methodologies developed
- Conflict prevention interventions (direct and structural) are informed by systematic/joint early warning and analysis
- Direct conflict prevention interventions by AU/RECs/RMs (preventive diplomacy) are timely, coordinated and effective
- Evidence of structural prevention responses/interventions
- Evidence of APSA stakeholders cooperation in preventive actions
- Evidence of use of early warning reports by decision makers.

Strategic priority 1 has been divided into six specific objectives, each of them addressing one major obstacle to effective response. They are presented in the following sections.

1.1 Capacities of CEWS and the EWS

Although well advanced with regards to the implementation of event data collection tools and data management and sharing tools, as well as the required Information and Communications Technology (ICT) infrastructure and methodologies, full implementation of the AU CEWS and the EWS of the RECs/RMs (ECOWARN, CEWARN, COMWARN, EACWARN, among others), data collection and monitoring tools has not yet been fully achieved. This is due to: rapid changing nature of conflicts and their dynamics requiring a constant re-assessment of the adequacy of

existing data collection tools; insufficient human resources; methodology handbooks and Standard Operating Procedures (SOPs) is not always followed by analysts and not always relying on data generated by existing tools; limited frequency of early warning reports; inadequate feedback from decision-makers on early warning reports; absence of structured interaction between CEWS/EWS-RECs and relevant staff from other departments. With regards to analysis, AU CEWS and the EWS of the RECs/RMs need to strengthen the quality, frequency and timeliness of early warning reports, situation updates, flash reports, weekly updates and other types of reports, including the strengthening of scenario-building and policy/response options contained therein. Moreover, and with specific reference to EWS at the RECs currently in early stages of development, additional efforts must be taken to accelerate the development of methodologies and tools for data gathering and analysis as well as capacity for the production of early warning and other types of reports.



The specific objective 1 is therefore **to enhance the capacity of the AU CEWS and the EWS of the RECs/RMs to systematically monitor, collect and analyse relevant information in order to provide timely early warning reports, updates and other types of reports.**

Priority 1 Specific Objective 1 indicators

- Existing data collection, analysis and methodology tools developed, tested, fully implemented and customised
- Evidence of improved quality of data gathered (widened variety, timeliness, relevance, verifiable)
- Evidence of trend tracking tools fully implemented (where applicable: Africa Reporter, CAAS, Democracy Trends Reports)
- Increased consistency in the production of early warning reports by CEWS and EWS of the RECs/RMs
- Increased frequency of production of early warning alerts by CEWS/EWS-RECs
- Evidence of data tools usage in the reports
- Reports following adopted methodologies
- Evidence of interaction with the PSD/Department of Political Affairs (DPA)/RECs staff in terms of peer reviews, joint writing of reports including situational and analysis reports
- Evidence of AU CEWS and EWS of the RECs/RMs use of AU DPA Election Risk Management Tools or similar tools at REC level
- Evidence of the RECs/RMs use of Election observation and Political Analysis Reports
- Percentage of African borders demarcated
- Number of African States having established National Border Commissions to manage their borders

The main strategies envisaged to reach this objective focus on two key dimensions: (i) the full operationalization of the data collection, monitoring and analysis systems at both AU and RECs; and (ii) the improvement of the quality and quantity of early warning reports by AU CEWS and EWS of the RECs/RMs. In the first dimension, a series of activities are envisaged, including, customisation of existing data collection and analysis tools; operationalization of new tools (i.e. Conflict Alerting and Analysis Tools (CAAS) as well as ICT infrastructure support and secure access). With relation to the second key dimension (frequency and quality of reporting) strategies include: the recruitment of requisite number of staff; the expansion of coverage of conflict typologies and geographical areas; training of AUC and RECs/RMs staff (on tools; on conflict analysis; on statistical analysis) and also a survey of analysts, desk officers and decision makers.

1.2 Interaction between CEWS, regional and national EWS

Although working relations between CEWS and the EWS of the RECs/RMs have been marked by increased collaboration over the years (Technical Quarterly Meetings, joint briefings, technical support missions, experience sharing, etc.), there is still quite some way to go in terms of systematic collaboration on data collection, early warning analyses and other activities. This limited systematic collaboration is due to, inter alia, technological and methodological challenges (lack of system of data and information sharing; need to continue to co-develop data collection tools; actual sharing of information); varying stages of operationalization of early warning systems; challenges of information and analysis sharing related to political will.



The specific objective 2 is therefore **to deepen the substantive and systematic interaction between CEWS and the EWS of the RECs/RMs, between the EWS of the RECs/RMs, and between CEWS and the EWS of the RECs/RMs and their national early warning systems.**

Priority 1 Specific Objective 2 indicators

- The CEWS and the EWS of the RECs are regularly connected
- The EWS of the RECs are regularly connected
- Evidence of institutionalised early warning systems' systematic sharing of data (increase in information sharing)
- Evidence of strengthened collaboration
- Attendance and participation by CEWS and EWS of the RECs at the Technical Meetings
- Evidence of information sharing between CEWS and EWS as well as between RECs
- Evidence of analysis sharing and co-development of scenario-building and policy response options formulation
- The RECs and their national early warning units are regularly connected and systematically share data

The main strategies envisaged to reach this objective focus on simultaneously strengthening the connectivity (from a technical ICT perspective) between the CEWS and the EWS of the RECs/RMs and between the EWS of the RECs/RMs; as well as activities geared towards institutionalizing the sharing of data, information and analysis between the CEWS and the EWS of the RECs/RMs on on-going and developing situations. With relation to the first area of focus, activities envisaged include ensuring connectivity via the AU VSAT; purchasing the necessary equipment and securing access; addressing the issues relating to hosting application tools. In terms of the former dimension (related to efforts at institutionalizing collaboration), strategies and activities focus on supporting the RECs/RMs with the operationalization of their EWS (particular those at earlier stages of development) through the provision of training and experience-sharing, and activities focused on deepening the collaboration on analysis (including scenario-building and policy options formulation; expanding the practice of weekly joint briefings; conducting further CEWS simulations with the RECs/RMs and promoting joint analyses; promoting deeper exchanges of experience between EWS of the RECs.

1.3 Engagement of CEWS/EWS with decision-makers

The two APSA assessments (2010 and 2014) pointed to the limited interaction or “modest engagement” between CEWS and the EWS of the RECs/RMs and their respective decision-makers, which limits the efficacy of early warning information and analysis. In the case of CEWS, this interaction relates particularly to the PSC, the office of the Chairperson and other structures and organs of the AU (Panel of the Wise, DPA, etc.). This “modest engagement” is in part due

to: (i) limited opportunities for direct interaction between CEWS/RECs and their respective decision-makers; (ii) established information flows at AUC and also at RECs levels which make direct interaction difficult; (iii) in the case of the AU, limited understanding by AU structures and organs of what CEWS does and what outputs/products it produces; and (iv) lack of monitoring and feedback mechanisms allowing CEWS and the EWS of the RECs/RMs to measure quality of interaction, quality of outputs, needs of decision makers, etc.



Specific objective 3 is therefore **to enhance engagement between CEWS, the EWS of the RECs/RMs and national early warning centres with their respective decision-makers.**

Priority 1 Specific Objective 3 indicators

- Evidence of interaction between CEWS and the PSC
- Evidence of interaction between EWS and relevant statutory bodies
- Evidence of early warning reports being pushed up the decision-making structure (either in their 'pure' form or used in other reports such as the Chairperson's Report to the PSC)
- Evidence of deeper inter-departmental collaboration in briefing relevant decision makers at AU (PSD, DPA, others)
- At REC level evidence of increased production and dissemination of reports to decision-makers
- Evidence of decision makers at different levels using and taking into account the analysis and recommendations contained in the Early Warning Reports (EWRs) and briefings
- Feedback on the quality of reports obtained from decision-makers/others as appropriate

The first set of strategies envisaged to reach this objective focuses on enhancing the opportunities for interaction, including briefings and meetings between the CEWS and AU decision-makers (PSC, Chairperson, Commissioners) as well as the EWS of the RECs and their respective decision-makers. This includes activities geared towards exploring all possible opportunities for interaction in the context of each institution (including joint briefings with other departments); the improvement of reporting templates and the further institutionalization of verbal briefings; deployment of CEWS and EWS of the RECs/RMs information and sensitization campaigns within their institutions; developing feedback mechanisms whereby decision-makers systematically provide comments and inputs on early warning products; and, substantive involvement of decision-makers (including at national level) in assessments conducted (example: structural vulnerability assessments, SVAs). Second, this objective will require the CEWS and the EWS of the RECs/RMs to support the development of national early warning capabilities (where appropriate) through training and capacity building, the regular exchange of information and analysis with Member States' institutions, and, the hosting of joint simulation exercises with national early warning centres.

1.4 Collaboration of CEWS/EWS with external stakeholders

Comprehensive, timely and effective early warning information and analysis requires close collaboration with key stakeholders such as parliamentarians, partner organisations, in particular African CSOs (NGOs, research centres, academic institutions, think-tanks, CBOs) and international organisations such as the UN, the World Bank and others. Both the AU and the RECs/RMs regard collaboration with CSOs/International Organisations on matters of data collection and analysis sharing as necessary for the successful operation of their early warning systems. African and Africa-based academics, researchers, development practitioners, humanitarian relief personnel, representatives of community based organisations, professional associations and

women's and youth groups, professionals, etc., possess an impressive wealth of knowledge and experience, wide access to information and local actors – all of which can strengthen the quality of the outputs produced by the CEWS and the EWS of the RECs/RMs.

Yet, as pointed out in the 2014 APSA assessment, although at AU level engagement with CSOs has been initiated and collaboration with the UN (cluster on conflict prevention), the EU (joint research centre) and the World Bank has been established, there continues to be limited substantive interaction between CEWS and RECs/RMs and stakeholders such as CSOs, international organisations and bilateral countries (here the exception being ECOWARN and WANEP). Part of the reasons for this are related to a lack of detailed understanding of what exactly CEWS/EWS of the RECs/RMs do (particularly their data collection tools, methodology and approach; a closed system that uses open-source information); lack of appropriate 'points of entry/contact' for external stakeholders to interact on data gathering; analysis and formulation of options; and, ultimately, lack of political will – as can be seen for instance in the AU, and some of the RECs.



Specific objective 4 is therefore **to enhance collaboration between CEWS and the EWS of the RECs/RMs with relevant external stakeholders with regards to information and analysis sharing as well as development of policy and response options.**

Priority 1 Specific Objective 4 indicators

- CEWS-CSOs and other stakeholders Modalities for Collaboration approved and implemented
- CSOs, International Organisations, Academia, Think Tanks, and parliaments are 'plugged into the system' (information sharing) and contribute with data collection, monitoring and analysis
- CEWS and RECs hold briefing sessions with CSOs/International Organisations/Academia and Think Tanks

The main strategies envisaged to reach this objective focus on the establishment of regular and systematic communication channels between the CEWS/EWS of the RECs/RMs and relevant external stakeholders (development of the CEWS Portal, joint briefing sessions); development of the necessary ICT requirements so that relevant external stakeholders can plug into the various systems' tools (even data collection, indicator monitoring; other points of entry, such as analysis); adoption and implementation of a CEWS-CSOs modalities of collaboration framework; and, establishment and strengthening of linkages and networks with national and subnational CSOs. In addition, and in order for relevant stakeholders to meaningfully contribute to the efforts of CEWS and the EWS of the RECs/RMs, training and capacity building activities to CSOs, academic organisations and think tanks in the field of early warning, structural vulnerability analysis and conflict prevention more broadly are planned.

1.5 Capacity for structural conflict prevention

The AU and the RECs/RMs acknowledge that conflict prevention must include both a direct focus of intervening before large-scale violence occurs (preventive diplomacy and associated tools), as well as focus on the structural (root) causes of conflict. However, structural conflict prevention remains at an incipient stage at both continental and sub-regional levels. This is despite the fact that, for instance, the African Union Border Programme (AUBP) is systematically addressing the continent's poorly defined borders in an attempt to prevent conflict that could stem from disputed borders. The Union has also addressed the issue of structural conflict prevention in numerous key policy documents (on human rights, governance, democratisation, the

fight against corruption, disarmament, socio-economic development, management of natural resources among many others). However, it was not until 2014 that a specific framework on structural conflict prevention has been adopted (it was finally endorsed by the PSC on 29 April 2015). The Continental Structural Conflict Prevention Framework (CSCPF) aims at strengthening the AU's direct prevention actions with activities to assist Member States in addressing/identifying structural vulnerability of countries to conflict at an early stage and is to be supported by the AUC Inter-Departmental Taskforce on Conflict Prevention (IDTFCP).

At the same time, the African Union has adopted an African Governance Architecture (AGA), through the African Charter on Democracy, Elections and Governance (2007). It is aiming at addressing many of the dimensions of structural vulnerability, including good governance, the rule of law, democracy and human rights, popular participation, management of public funds and service delivery among others.

Implementation of the CSCPF is still at an incipient stage, a result of lack of resources (staff and financial), the need to mainstream conflict prevention (in its various dimensions) in the work of the AUC, among others. Moreover, linkages between APSA and AGA as well as the AU and the RECs in the domain of structural conflict prevention remain tenuous, partly as a result of a lack of communication and collaboration between different departments at AUC, and between the AU and the RECs.



Specific objective 5 is therefore **to enhance the capacity for structural conflict prevention by the AU and the RECs.**

Priority 1 Specific Objective 5 indicators

- At Continental level, the CSCPF is finalised (reviewed by PSD and other stakeholders) and shared
- CSVAs are conducted jointly with relevant RECs
- Results of the CSVA are communicated to the IDTFCP and to decision-makers
- IDTFCP meets regularly
- Decision-makers take into account the analysis and results of the CSVA
- The AUC gradually develops an early/early prevention posture
- Increased harmonization between APSA and AGA
- Deepened link between the AU and the RECs on structural conflict prevention
- Evidence of coordination with RECs/RMs on border management and cross border cooperation
- Evidence of implementation of the (to be) adopted Enhanced Border Management Strategy

The main strategies and activities envisaged for this objective include aspects related to the finalization and operationalization of related policies, mainstreaming conflict prevention as well as enhancing APSA actors' capacity to undertake structural vulnerability analysis/assessments. At continental level for example, this includes the operationalization of the CSCPF and the conduct of CSVAs and Country Structural Vulnerability Mitigation Strategies (CSVMS) while at REC/RM level it includes the operationalization of existing conflict prevention frameworks. Activities focusing on the mainstreaming conflict prevention across the AU Commission but also at the various RECs/RMs are central to this strategy – for example, at the AUC this includes regular meetings of the IDTFCP.

In addition, activities are proposed in the context of strengthening the institutional linkages between the APSA and the AGA to support and complement the efforts of Member States to achieve their commitments in terms of human rights and the rule of law, popular participation, management of public funds, transparency, elections among others. This includes the regular provision by the AGA Secretariat of situational analysis to the PSC; AGA participation at the IDTFCP; conduct of joint missions between DPA and PSD; and elections/post-election joint assessments.

In terms of capacity development, strategies include the sharing of existing methodologies, manuals and SOPs by the CEWS with relevant RECs/RMs, as well as the training of analysts with regards to structural vulnerability assessments. It also includes the joint development by CEWS and the EWS of the RECs/RMs of CSVAs.

1.6 Capacity to deploy and conduct preventive diplomacy

The costs of managing conflict once it has erupted (whether in fielding peacekeeping operations or providing humanitarian relief), of engaging in lengthy mediation and peace-making efforts, as well as the very high costs of recovery (rebuilding economic and socio-political systems) and the incalculable costs in human suffering and loss of human capital have underscored the concern with conflict prevention at continental and sub-regional levels. Indeed, recognising that the human, financial and material costs of prevention are considerably less than the devastating consequences of armed violence, the AU and the RECs have for more than two decades developed policies and instruments designed to prevent violent conflict.

Nevertheless, there is a sense that a ‘culture of fire fighting’ prevails, with these organisations tending to act (or being prompted to act) only when situations have already turned violent. At both AU and REC levels there are several actors with a direct conflict prevention mandate – at the AU, for example, the PSC, the Chairperson, the Panel of the Wise as well as special representatives/envoys appointed by the Chairperson can undertake preventive diplomacy missions. Likewise, at the RECs/RMs several actors are tasked with conflict prevention responsibilities. The prevalence of a ‘culture of fire fighting’ appears to be related to overall capacity, resources as well as these organisations’ need not to lose focus on on-going high intensity conflicts/on-going peace support operations. Yet, this can also be attributed to a lacking culture of prevention as well as the ad-hoc nature of decision-making, planning and deployment of preventive diplomacy missions (absence of a preventive diplomacy system).



Specific objective 6 is therefore **to enhance the capacity of the AU and the RECs to effectively deploy and conduct preventive diplomacy (direct prevention).**

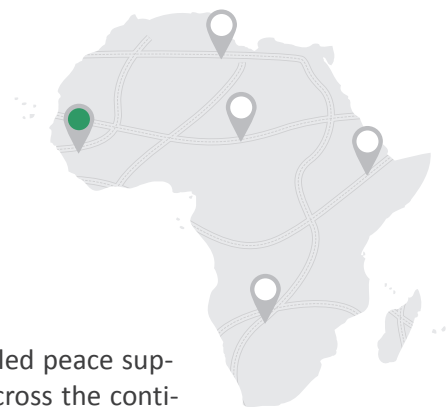
Priority 1 Specific Objective 6 indicators

- Evidence of frequency, relevance and efficacy of preventive diplomacy missions undertaken by the AU and the RECs (good offices, fact finding, conciliation, pre-election missions)
- At the AU, evidence of closer coordination between PSC, Chairperson, Special Envoys and Members of the Panel of the Wise (both informal as well as formal through participation in PSC meetings, etc.)
- Members of the Panel of the Wise/Friends of the Panel/PanWise are regularly tasked with preventive diplomacy missions
- REC Policy Organs task their respective Councils of Elders or similar structures to undertake preventive diplomacy actions
- Evidence of preventive diplomacy missions undertaken by Councils of Elders or similar structures
- Confidential reports of Councils of Elders or similar structures presented to decision makers
- PSC and AUC Chairperson as well as Executive Secretary's at RECs regularly conduct preventive diplomacy missions/other undertakings
- Knowledge Management Framework (KMF) implemented as part of an M&E system
- Evidence of joint missions with RECs under the PanWise umbrella
- Evidence of strengthened capacity for direct prevention at national level (national infrastructures for peace)

There are two main strategies to attain the objective above, particularly with regards to an increase on frequency, relevance and efficacy of preventive diplomacy missions undertaken by the AU and the RECs. On the one hand, AU and RECs/RMs actors involved in preventive diplomacy missions must be equipped with the relevant skills, capacities and support required for timely and effective interventions. This involves: targeted training based on needs assessment to special envoys, representatives and members of the Panel of the Wise; finalization of recruitment and training of staff for the various existing institutions/organs responsible for preventive diplomacy (AUC, Panel of the Wise Secretariat and related institutions at the RECs/RMs); implementation of the KMF as well as the 2012 mediation SOPs to preventive diplomacy interventions; creation and operationalization of an operational support team; operationalization of PanWise; among others.

Furthermore, and in order for a more predictable and integrated preventive diplomacy system to develop, strategies at the AU level are geared towards enhancing the coordination between the PSC, the Chairperson, special envoys, special representatives and members of the Panel of the Wise. With regards to AU and RECs/RMs, the strengthening of linkages with regard to preventive diplomacy missions, including decision-making, planning and deployment of joint missions is key. Indeed, the strategic objective defined above depends on a clearly defined system and process for decision-making, planning, deployment and conduct of preventive diplomacy missions in a coordinated fashion – both within as well as across APSA institutions. Here, the first and perhaps most important activity relates to the finalization of the consultations for the AU Mediation Support Unit (MSU) as well as those at the RECs/RMs. In addition, the development of an integrated preventive diplomacy and mediation strategy (capturing the two different but complementary dimensions) is envisaged as a priority activity. Finally, it is critical that the AU and the RECs/RMs develop outreach and information actions focusing on their actual roles in direct conflict prevention as well as develop strategies for fund raising and sustainability.

2 Strategic Priority 2: Crisis/Conflict Management



The AU and the RECs/RMs are increasingly deploying African-led peace support operations in response to crisis and conflict situations across the continent. Although the political will to undertake such operations has grown rapidly, the operational ability to do so still requires significant investment. To ensure that African peace operations can deploy rapidly when required, and be effective throughout the duration of their deployment, the operational readiness of the African Standby Force (ASF), and the planning, management, deployment and sustainment of Africa peace support operations, need to be enhanced.

The increase in opportunities for peace-making by regional and sub-regional organisations, and by civil society organisations including NGOs and CBOs has resulted in an exponential growth in mediation interventions in Africa at multiple levels. Mediation is increasingly used by the UN, AU, RECs/RMs and at national level as an approach to the peaceful settlement of disputes and conflicts. This form of peace-making is here understood as a structured process, involving a third party who is not a party to the conflict, the acceptance of mediation and a particular mediator by parties to a dispute, and the voluntary nature of agreements reached. As noted in the 2014 APSA assessment, in most of the major conflicts in Africa, the AU has either engaged directly in mediation or supported mediation led by one of the RECs. Indeed, between 2007 and 2014, the African Union deployed special envoys, special representatives or mediators to Guinea, Madagascar, Guinea-Bissau, Comoros, Niger, Burundi, CAR, Somalia, Sudan, the Great Lakes Region, Liberia and Mali. The importance, complexity and difficulty of mediation and preventive diplomacy require a systematic and professional approach, where collaboration and coordination between actors and a high level of expertise and professional support are required.

2 The first objective for strategic priority 2 of the roadmap is therefore **to contribute to enhanced operational readiness of the ASF, and more effective African PSOs.**

First Strategic Objective 2 Indicators

- Evidence of cooperation between AU, RECs/RMs and Member States in the development and retention of PSO capabilities
- Evidence of cooperation between AU, RECs/RMs and Member States in the planning and deployment of operations
- Evidence of systems and procedures which enable the deployment of PSOs
- Evidence of timely deployment of operations within the context of relevant frameworks
- Evidence of effective planning and management of operations

2 The second objective for the strategic priority 2 of the roadmap is **to contribute to the effective and coordinated management and resolution of conflicts and crises through mediation by the AU and the RECs.**

Second Strategic Objective 2 Indicators

- Evidence of timely and coordinated mediation interventions by the AU, RECs/RMs
- Evidence of enhanced capacity at the AU, RECs/RMs to plan, deploy, manage and support mediation interventions
- Evidence of enhanced capacity by actors at national level to plan and conduct mediation interventions
- Evidence of enhanced cooperation between the AU, RECs/RMs and the UN on mediation interventions

Strategic priority 2 has been broken down into six specific objectives, each of them addressing one major obstacle to effective response. They are presented in the following sections.

2.1 Political/legal decision-making mechanisms

Decision-making for an ASF operation (mandated to use force) requires consultations that will help determine an appropriate framework, scope and resource requirements for such engagement. In this regard, consultations and actions are required at principally four levels, including the UN; the AU; the concerned REC/RM; and the potential Troop and Police Contributing Countries. Coherent and well sequenced decision making is critical to ensuring that an ASF operation is able to respond swiftly and deploy rapidly within the specified deployment timeframes, for instance 14-days in the case of rapid response to mass atrocities, war crimes and crimes against humanity (Scenario 6, ASF Policy Framework). It is also critical to ensure that an operation has the requisite authority and legitimacy. If political and legal decision-making and authorisation is lacking any, limited to and/or slow at all (or any of the) four levels of actors, this can significantly impede rapid deployment. In this regard, political and legal decision-making processes at the four levels need to be synchronised and/or streamlined to facilitate expedited mandating and rapid deployment processes.

2 The specific objective 1 is therefore **to ensure that political and legal decision making mechanisms are clarified, harmonised and structured between specifically the AU and the RECs/RMs so as to enable more effective cooperation in the mandating, deployment and management of operations.**

Priority 2 Specific Objective 1 indicators

- Existence and utilisation of harmonised and streamlined policies, guidance and procedures (between the AU and the RECs/RMs) informing PSO mandating and decision making for the planning, deployment and management of PSOs
- Evidence of planned and structured consultations amongst AUC Departments and Divisions on the planning, mandating/decision making and deployment of PSOs
- Evidence of joint AU and RECs/RMs planning, programming and assessment in relation to the development and enhancement of the ASF
- Evidence of joint AU and RECs/RMs analysis and planning for operations
- Evidence of AU and RECs/RMs coordination/collaboration in the preparation of deployments
- Evidence of timely deployment of operations
- Increased rapidity in the deployment of PSOs

The main set of strategies/activities envisaged for the fulfilment of this objective are focused on ensuring consultation and agreement amongst the AU, RECs/RMs and Member States to consider the harmonisation and streamlining of their political and legal instruments, procedures and timeframes in support of rapid and well-coordinated responses. Specifically, this will include workshops (of the concerned decision makers of the AU, RECs/RMs and Member States) that will generate concrete recommendations (on harmonisation and coordination of decision-making), which in turn will be submitted for formal endorsement and action. A second set of activities are targeted at actions that need to be taken by the planning elements at the AU and RECs/RMs to assess each procedure within the decision-making chain and to define and assign responsibilities as appropriate. The review of the MoU on Cooperation in the Area of Peace and Security between the AU and the RECs/RMs will need to be facilitated to, amongst other aspects, provide guidance on legal and procedural aspects as concerned with the mandating, planning, deployment, management, sustenance and liquidation of ASF operations. All relevant personnel will require good orientation and training on legal and procedural aspects of the ASF. Additionally, the AU and RECs/RMs will need to review all existing legal arrangements for ongoing peace support operations with the view to ensure a sound legal basis and framework for the employment of the ASF. The last set of activities will pertain to meetings and processes for the development of a system to monitor decision-making and implementation for the ASF.

2.2 Capacity to plan, deploy, manage, sustain and liquidate

The Planning Elements (PLANELMs) were established to serve as management capability for the ASF and exist at the level of the AU and the RECs/RMs. The AU PLANELM serves as the strategic-level whilst the RECs/RMs PLANELMs serve at the operational level. RECs/RMs PLANELMs also serve as strategic level for operations they mandate, and in this instance, the AU PLANELM provides strategic support to the mandating REC/RM. In broad terms the PLANELMs are responsible for the management of pre-deployment, deployment and post deployment processes for the ASF. Although significant steps have been taken to ensure multidimensional, well-resourced and effective PLANELMs, progress across the AU and regions has been mostly mixed and uneven. It is generally recognized that more work and emphasis should be placed on ensuring appropriate structures for the PLANELMs, which should also be staffed with highly skilled and capable planners. The AU and regional PLANELMs should ensure they possess the full suite of policy guidance and Standard Operating Procedures that will inform and guide their efforts. There is need to also ensure greater collaboration and communication between the AU and the Regional PLANELMs. In this regard, the AU will be required to play a stronger role in terms of leadership and guidance on the ASF. This element has been notably challenging to date.

2 The specific objective 2 is therefore to **enhance the capacities of planning elements as well as to ensure they possess the required systems, processes and policies to adequately plan, deploy, manage, sustain and liquidate peace support operations.**

Priority 2 Specific Objective 2 indicators

- Existence of adequate human resources capacity within the planning elements
- Existence of planning and deployment guidelines, policies and procedures aligned to current realities and developments
- Evidence of formal approval of guidelines, policies and procedures
- Evidence that PSO planners (at the AU and REC/RM levels) are well oriented and knowledgeable of the guidelines, policies and procedures and are accordingly able to apply these in planning for operations
- Domestication of ASF guidelines, policies and procedures by the RECs/RMs and Member States at the regional and Member States levels respectively
- Evidence that the AU and RECs/RMs systematically apply guidance, policies and procedures in planning, deployment, management, sustainment and liquidation of PSOs
- Evidence of the allocation of the required resources to the planning elements
- Evidence of increased PSO efficiency

The main set of strategies/activities envisaged for the fulfilment of this objectives include individual and joint assessments of the AU and RECs/RMs to confirm critical gaps (policies, Standard Operation Procedures, staffing, expert/niche capacities etc.) that need to be addressed, and recommendations and plans to address these gaps. Steps will also be taken to review the Aide Memoire on planning for ASF operations and this aide memoire should receive full support and endorsement by the AU and RECs/RMs. The latter should be directed to domesticate the planning guidance as relevant. There should also be activities to ensure improved staffing (qualitative and quantitative) of the PLANELMs and such a process should include a skills audit and assessment; training and recruitment. Emphasis should also be placed on further developing the planning and management capacity of the various planners at the continental and regional PLANELMs.

2.3 Mission support systems and mechanisms

The development of effective mission support strategies, systems and mechanisms which can underpin the rapid deployment of peace support operations to the field, and which can ensure that these operations can be sustained for the duration of deployment, are critical for the conduct of African peace support operations.



The specific objective 3 is therefore **to establish critical mission support systems and mechanisms as well as robust administrative and logistics policies and processes for deployment, management, sustenance and liquidation of operations.**

Priority 2 Specific Objective 3 indicators

- Establishment and operationalisation of the ASF Continental Logistics Base to facilitate mission start-up
- Establishment of an AU and RECs/RMs administrative and logistics support system, mechanism, process and framework for ASF operations
- Existence of formal agreements between AU and its partners on administrative and logistics support mechanisms for AU PSO
- Evidence of joint assessments between the AU, RECs/RMs and other partners on strategic lift capabilities on the continent, including continental movement coordination and facilitation
- Existence of formal agreements concluded between AU and its partners on support for AU PSO strategic lift capabilities and continental movement coordination and facilitation
- Existence of formal agreements concluded between AU and Member States strategic lift capabilities on support for AU PSO
- Existence of formal agreements concluded between AU and its partners on support for AU PSO strategic lift capabilities and continental movement coordination and facilitation
- Establishment and operationalisation of the ASF Continental C3IS architecture and system
- Establishment and operationalisation of the ASF Continental and Regional Movement Control Centres (CMCC) and (RMCC) respectively

2.4 Capacities and capabilities pledged/on standby

The demand for skilled and trained personnel for the conduct of peace support operations continues to grow. In this regard, the AU and the RECs/RMs have invested in the development of the African Standby Capacity (ASC), a continental roster that can be utilized to support the recruitment and deployment needs for African peace support operations. As the roster has been developed and is in place, it now needs to be populated with personnel, and utilized to service recruitment needs for operations.



The specific objective 4 is therefore **to ensure the efficiency of the ASF human resource management.**

Priority 2 Specific Objective 4 indicators

- Existence of harmonised training standards and directives
- Existence of training evaluation, assessment, certification, verification systems
- Evidence of adequate capacity by training centres and institutions to support AU in facilitating required and targeted training processes using AU harmonised training standards in line with Annual ASF Training directives
- Continuation of the Training Centres Programme to facilitate support to training institutions to deliver and conduct training for the AU and ASF
- Evidence that the ASF has sufficiently qualified and skilled capacities and capabilities (military, police and civilian) pledged/on standby and on the ASC Roster
- Evidence of the promotion and utilisation of the ASC roster as a recruitment tool and approved human resource policy frameworks and field operations procedures that facilitate rapid deployment and management of field personnel
- Evidence and utilisation of adequate (civilian) recruitment/deployment policies and processes for field missions
- Evidence of training and rostering linkages to facilitate rapid deployment of qualified, experienced and well trained personnel pledged for ASF operations

2.5 Capacity to plan, deploy, manage, support and monitor mediation interventions

Within the context of the AU, the Chairperson normally appoints Special Envoys and Special Representatives to conduct structured mediation processes. Similarly, the RECs/RMs also engage in mediation, often in partnership with the AU and have their own mandates and structures for peace-making. The 2014 Assessment noted how this form of peace-making is a specialized endeavour requiring a high level of expertise and professional support.

There are a number of key challenges at present: the absence of a professionalised approach to mediation; the absence of sustained professional support to mediators at the AU and the RECs; and, existing structures and processes are inadequate for rapid deployment of mediation and preventive diplomacy interventions, including flexible funding.



The specific objective 5 is therefore **to enhance the capacity of the AU and the RECs/RMs to plan, deploy, manage, support and monitor mediation interventions.**

Priority 2 Specific Objective 5 indicators

- Evidence of efficient mediation interventions
- Evidence of operationalization of MSUs) at the AU and the RECs/RMs
- Evidence and documentation of the use of the guidance contained in the 2012 SOPs for Mediation Support (note that these have clear guidance on: appointing and hiring processes for lead mediator; decision to deploy a mediator; creating a mediation roster; developing mediation mandates; creating an AU mediation team (needed expertise and capacity, core team members, resource persons); mediator pre-deployment briefings; design of mediation strategies; funding, etc.)
- Evidence and documentation of the use of the KMF for Mediation (lessons learned, etc.)
- Evidence of reviews and evaluations of concluded AU and RECs/RMs mediations
- Evidence of harmonization of national mechanisms with RECs

The main strategies/activities envisaged to reach this objective centre on the need to equip the AU, RECs/RMs and national level actors involved in mediation with relevant capacities for effective mediation interventions. Indeed, these strategies/activities are designed to strengthen the AU and RECs' capacity to design, plan, deploy, manage and monitor preventive diplomacy and mediation interventions. These strategies include three key dimensions: (i) the full operationalization of existing policies and processes relating to mediation at both AU and the RECs/RMs; (ii) the creation of MSUs at the AU and the RECs with the aim of establishing track I and track II mediation structures and coordinate technical expertise for effective professional support to peace processes; (iii) capacity building trainings and retreats for the envoys and mediators and create inter-face between the AU and RECs; (iv) strengthening regional mediation capacity building upon national institutional and normative frameworks. Consequently, implementing the 2012 SOPs for Mediation Support and the Knowledge Management Framework for Mediation Processes, as well as finalizing the PSD Roster, will strengthen the process of appointment, pre-deployment preparation and start-up phase of AU mediation activities, including lessons learned and monitoring and evaluation of mediation interventions. Finalising consultations for (and launching) MSUs at both AU and the RECs/RMs, including developing the concept for an 'Operational Support Team' at the AU are key areas of intervention for the strengthening of mediation capacity in the period of this roadmap. Finally, this objective requires that considerable focus be placed on targeted training to mediators and special envoys – training which is proposed to stem from the conduct of a needs assessment survey.

2.6 Coordination on mediation interventions

Collaboration and coordination between different actors engaged in mediation is a critical factor in the success of mediation processes. This is particularly the case in the African continent where a significant number of actors, ranging from States and individuals to organisations such as the UN, the AU and the RECs have become involved in mediation in one form or another. In the case of the AU and the RECs, whether through nominated Special Representatives, Envoys, Chief Mediators, or through the collective efforts of panels of eminent personalities such as the AU Panel of the Wise and similar mechanisms at sub-regional level (including ECOWAS' Council of the Wise; COMESA's Committee of Elders and SADC's Panel of Elders), High Level Implementation Panels (Sudan for example) and International Contact Groups, demonstrate that these organisations have assumed, and will continue to play key roles in peace-making, including preventive diplomacy (fact-finding, good offices, conciliation and confidence-building), facilitation and mediation efforts. These developments have taken place in an increasingly complex international mediation environment, where often multi-party mediation has become the norm. Within the context of mediation interventions, regular consultations should be held with the RECs/RMs, which will take, within the framework of APSA, the necessary initiatives in their respective region and initiate mediations to conduct structured peace process jointly with the AU or on their own, as decided at the PSC retreat in Abuja in 2015. Yet, at present, collaboration and coordination are mostly done in an ad-hoc basis, as there is an absence of mechanisms and procedures for ensuring coordination and cooperation between the AU, RECs/RMs and the UN in mediation and preventive diplomacy initiatives. There is a need for enhanced consultation and coordination between the AU and the relevant RECs/RMs regarding decisions on, and conduct of mediation initiatives.

2

The specific objective 6 is therefore **to enhance coordination between the AU, the RECs/RMs and the UN on mediation interventions.**

Priority 2 Specific Objective 6 indicators

- Examples of coordinated mediation interventions by AU, RECs/RMs and UN
- Evidence of information-sharing and joint decision-making between AU and RECs/RMs
- Evidence of joint mediation endeavours
- Evidence of joint analysis and assessment between AU and RECs/RMs
- Forum of AU/REC/RMs mediation focal points

In order to ensure enhanced coordination between the AU, RECs/RMs and the UN on mediation to take place, a number of strategies and activities are proposed. These include, with regard to AU-REC relations on mediation: the development and implementation of AU/RECs/RMs Mediation Guidelines; increased frequency of joint missions and international contact groups leading to joint mediations (where appropriate); information sharing and deepened support to the RECs with regards to the professionalization and support to mediation. The AU and the RECs/RMs may also consider the creation of the Forum of AU/RECs/RMs focal points. With regards to the crucial area of coordination and collaboration with the UN, activities include the adoption and implementation of the AU/UN Mediation Guidelines; information sharing; collaboration through technical support and exchanges of experiences; and, strengthening the alignment of UN/AU mediation guidelines.

3 Strategic Priority 3: Post-Conflict Reconstruction and Peace Building



Post-conflict reconstruction, development and comprehensive peace building efforts are closely linked to all other elements of the APSA and central for their success. The recent relapses of several post-conflict countries into violence and instability highlight the challenge, and therefore, the imperative for post-conflict reconstruction and development in Africa, as well as the need for more concerted action in consolidating peace in countries emerging from conflict. Drawing the lessons from past experience in rebuilding countries emerging from conflict, the AU Assembly adopted, in 2006, a PCRD Policy Framework, as a guide for the development of comprehensive policies and strategies to consolidate peace and pave the way for growth and sustainable development in countries emerging from conflict. The Policy highlights six indicative elements of PCRD; namely security; humanitarian/emergency assistance; socio-economic reconstruction and development; political governance and transition; human rights, justice and reconciliation; and gender.

The objective for the strategic priority 3 of the roadmap is **to contribute to effective, coordinated and timely support to post-conflict Member States and communities emerging from conflict.**

Priority 3 Strategic Objective Indicators

- PCRD interventions and support to Member States are timely and based on a systematic assessment of post-conflict needs
- Evidence of joint PCRD programming, including formulation of common objectives, between AUC departments, between AUC and RECs/RMs, between RECs/RMs and RECs/RMs and between AUC and Member States as well as RECs/RMs and Member States
- Evidence of PCRD initiatives in post-conflict Member States that are based on continental or regional PCRD policies and/or strategies
- Evidence of enhanced capacities of AU and RECs to provide and coordinate support to post-conflict Member States, based on policies and strategies
- Evidence of financial and in-kind support mobilised by AU/RECs and channelled to post-conflict Member States
- Evidence of AU and RECs PCRD/DDR/SSR expertise deployed within peace support operations

Strategic priority 3 has been broken down into seven specific objectives, each of them addressing one major obstacle to effective response strategies. They are presented in the following sections.

3.1 PCRD Mechanisms and regional policies

The AU PCRD Policy Framework of 2006 has identified institutional mechanisms that are to be implemented by AU and RECs in order to assist post-conflict Member States in their reconstruction efforts. While AU and RECs made considerable process, some of the mechanisms are not yet in place or not yet fully operational. The six pillars of PCRD are defined broadly in the policy framework, and a clear definition and operational guidelines on each of the pillars are missing. Further, the PCRD policy framework sees a need for regional guidelines for the implementation of PCRD efforts, which supports the harmonisation of PCRD policies on national level. Some

RECs played a leading role in developing regional PCRD policy frameworks, but lack implementation capacities. Other regions strive to develop regional PCRD policy frameworks within the timeframe of the roadmap.



Specific objective 1 is **to ensure that PCRD mechanisms at the level of AUC, REC/RM and post-conflict countries as well as PCRD policies are in place and operational, in line with the six pillars of the PCRD policy framework.**

Priority 3 Specific Objective 1 indicators

- Evidence that AUC and RECs/RMs have the mechanisms in place according to their mandate given by their respective policy organs
- Evidence of regional PCRD policies in place in all regions, and harmonised with the continental PCRD policy framework

Three main strategies have been identified in order to achieve the specific objective. The first one relates to the six pillars (indicative elements) of the PCRD policy framework: each of the pillars will be clearly defined, and operational guidelines or similar strategic documents will be developed. The second strategy consists of the establishment of PCRD mechanisms at different levels. A Multidimensional Committee on PCRD will be established in order to interact with international actors on the continent on PCRD. A PSC Standing Committee is to be established in order to monitor actors and provide support to affected countries. Regular briefing sessions of the PSC will assure the political oversight and support to PCRD efforts. On national level, post-conflict Member States are to be supported in the establishment of ministerial committees on PCRD. An interdepartmental taskforce at AU level, involving RECs through their Liaison Offices, will be established and will meet regularly, in order to foster harmonisation and synergies. The third strategy relates to the development and implementation of regional PCRD policies and strategies. The PCRD policy framework will be adapted to region specific situations, and guidelines will be developed accordingly. Member states of the regions will be closely involved in the process, and RECs will cooperate with AU and align their policy frameworks and strategies.

3.2 PCRD responds to specific needs in different conflict phases

The high degree of relapse into violence of post-conflict countries, as well as the numerous protracted crises on the continent, indicate the need for an adequate response of PCRD measures to different needs in the conflict cycle. This is particularly relevant for the stabilization and early recovery phase during or directly following peace support operations. If not holistically conceptualised, PSOs risk leaving a gap in support to the local communities, which needs to be filled by early recovery and humanitarian interventions, closely linked to reconstruction and development measures. Despite efforts of AU and RECs to closely link PSOs and post-conflict efforts, there is a lack of conceptual clarity on the phase of stabilization and early recovery, as well as on the role of conflict preventive measures in peace building. Additionally, there is a need for closer cooperation between all actors responsible for interventions in post-conflict Member States.



Specific objective 2 is to ensure that PCRD interventions are responding to specific needs in different conflict phases.

Priority 3 Specific Objective 2 indicators

- Evidence that PCRD programmes and strategies are informed by joint analysis on the structural causes of conflict and include strategies and activities for conflict prevention
- Evidence of (approved) strategic documents which point out roles and responsibilities of AU and REC actors in the stabilization phase
- Evidence of increased joint planning and close cooperation and coordination of all actors/divisions within AU/RECs which are engaged in post-conflict countries and situations
- Evidence that the PCRD policy is leveraged in support of stabilization and early recovery efforts
- Evidence of early recovery instruments such as Quick Impact Projects (QIPs) and peace strengthening projects being utilised in PSOs or its immediate aftermath as instruments in support of stabilization and early recovery efforts

Three sets of strategies have been developed in order to address the causes of the problem and achieve the specific objective. The first one relates to the development of a holistic strategy of interventions in the stabilization and early recovery phase. PSOs will be assisted in the implementation of QIPs, and in the development of their capacities to timely implement or liaise with the relevant actors implementing PCRD, stabilization and early recovery measures. The second strategy relates to the development of a holistic concept on the interaction between peace building and conflict prevention, involving governance and state building aspects. Here, it is important to engage with all relevant actors on AU and REC level, map out interventions and develop guidelines for conflict sensitivity and Do No Harm, taking into account long-term structural causes of conflict. The third strategy consists of setting up a mechanism for coordination, joint planning and regular exchange on interventions in post-conflict Member States (interdepartmental taskforce), involving all relevant actors, such as the AUC as well as RECs through their Liaison Offices.

3.3 AU and RECs coordination function of PCRD

The effective support to Member States in PCRD requires close collaboration between all relevant actors involved. Besides the AU, RECs and the respective Member States (including relevant ministries and departments), the UN and other international organisations, post-conflict reconstruction and peace building efforts also involve civil society organisations at local, national, regional and continental levels. At the moment, there is still lack of regular and systematic exchange between the AU and the RECs as these actors. The AU PCRD Policy Framework of 2006 provides guidance on roles and responsibilities of AU and RECs as well as on mechanisms to be established for the effective implementation of PCRD measures on member state level. There is, anyhow, still a lack of clear definitions of roles and responsibilities of the AU and the RECs, as well as lack of harmonised approaches and regular exchange. Finally, the AU and the RECs participation and coordination role in other (often international) mechanisms related to post-conflict reconstruction of the continent needs to be enhanced.



Specific objective 3 is **to ensure that the AU and the RECs exercise their coordination function effectively and comprehensively.**

Priority 3 Specific Objective 3 indicators

- Planning, monitoring and reporting processes on PCRD between AUC and RECs/RMs are harmonized
- AUC and RECs/RMs take up a relevant role in international PCRD processes, such as the New Deal and Post-Conflict reconstruction frameworks in Member States
- Implementation strategy for PCRD policy framework clearly highlights different roles and responsibilities of the various stakeholders

The strategies developed in order to address the causes of the problem are threefold: the first one consists of organising regular systematic exchange between AU and RECs on PCRD strategies and interventions, through dialogue sessions as well as through joint stakeholder work plans and other strategic documents. Secondly, regular systematic exchange is to be established between AU/RECs and external actors in the field of PCRD (e.g. through regular joint stakeholder meetings). This includes the UN Peace Building Commission as well as relevant CSOs. Also joint stakeholder monitoring and evaluation activities for PCRD are envisaged. Finally, AUC and RECs identify and participate in relevant fora and exchange meetings in the field of PCRD and peace building, e.g. in the New Deal for Fragile States process as well as in post-conflict needs assessment by international actors.

3.4 Resources for the implementation of PCRD programmes

The PCRD Policy Framework (2006) sees the mobilization of resources for PCRD as a major responsibility of the AU. At the 19th Ordinary Session of the policy organs of the African Union, in July 2012, the African Solidarity Initiative (ASI) was launched as an AU-led process for mobilizing support from within the continent for countries emerging from conflict. A Decision – Assembly/AU/Dec.425 (XIX) – on the ASI, was adopted, requesting the AUC, in close collaboration with the countries concerned and all other Member States, RECs, and other relevant African institutions, to roll-out a full implementation plan, and to mobilize in-kind, capacity building, as well as financial contributions, to support post-conflict reconstruction activities and efforts in the African countries concerned.



Specific objective 4 is **to ensure that the capacities of the AU and the RECs to generate (financial and in-kind) resources for post-conflict countries and communities are enhanced.**

Priority 3 Specific Objective 4 indicators

- Resources being pledged and delivered by AU Member States in support to PCRD countries
- In kind and financial support given to Member States, CSOs etc. through AUC and RECs/RMs
- Amount of funds being channelled through the PCRD funding windows
- Number of Member States/AUC/RECs/RMs co-financing arrangements in support of PCRD efforts in countries emerging from conflict

In order to achieve the specific objective, the following four strategies are envisioned: the African Solidarity Initiative is to be operationalized through the implementation of its resource mobilization strategy, the development of strategies and mechanisms to operationalize all aspects

of the ASI (including identifying post-conflict needs, channelling funds, reporting and monitoring, etc.). A mechanism is to be developed in the frame of the ASI to support Member States to engage with each other directly on addressing post-conflict needs, and the necessary capacities are to be established at the level of the AUC in order to keep the ASI operational. Second, a funding window is to be established to channel funds from AU to RECs and Member States for PCRD interventions, especially relating to regional and cross-border interventions. Third, needs of post-conflict Member States are to be assessed regularly and systematically, and linked to resource mobilization efforts. Finally, round tables and pledging conferences are organised regularly to generate additional support for post-conflict Member States.

3.5 Capacities for support to post-conflict Member States

Peace building is a complex and extensive process that involves addressing the root causes of conflicts, as well as creating social cohesion and establishing peaceful mechanisms and institutions for all members of society. It touches upon all aspects of nation building, humanitarian interventions in the immediate aftermath of conflict as well as socio-economic development; it includes rule of law and the reform of the security sector, constitutionalism and democracy, good governance, human rights aspects as well as reconciliation. It is therefore paramount that these processes are shaped on national and local level, and that national and local actors receive the support needed from regional and continental institutions, namely AU and RECs, as per their mandate in the PCRD Policy Framework.



Specific objective 5 is **to ensure that the capacities of AU and RECs to respond to post-conflict Member States needs through effective coordination and development of PCRD interventions/Member States support are enhanced.**

Priority 3 Specific Objective 5 indicators

- Number of Member States which are supported in the implementing of policies or strategies which are related to PCRD (security, transitional justice and human rights, socio-economic reconstruction and development, humanitarian/emergency aid, gender as well as governance and democracy aspects)
- Number of PCRD assistance requests addressed by AU and REC
- Evidence that support to member state is based on post-conflict needs assessment

Strategies to address this specific objective are threefold. AU and REC's Liaison Offices and field offices, and post-conflict Member States need to be assessed and supported in enhancing their capacities in the field of PCRD through training and other capacity development measures. It will further need to be assured that the review of AULOs mandates keeps in mind the role they can play in PCRD. Coherence is also to be enhanced between activities of AULOs/field offices and AU/REC strategies for PCRD. Second, capacities of AU and RECs to assist Member States in the development and monitoring of tailor made interventions will be enhanced through the development of implementation strategies for all indicative elements of the PCRD policy framework, the support to Member States in the development of national policies and strategies as well as in the implementation of national programmes. Third, an expert database/roster is to be developed based on a mapping of expertise needed in peace building processes, covering all indicative elements of the PCRD policy. A mechanism will ensure that experts are being deployed to post-conflict Member States, AULOs or PSOs according to the needs on the ground.

3.6 Capacities to implement the SSR policy framework

The reform of the security sector is often a complex and extremely challenging, but paramount process for post-conflict reconstruction of Member States. The AU Assembly through Assembly/AU/Dec.177 (X) in 2008 asked the AUC to develop a comprehensive AU Policy Framework on SSR, within the context of the Policy Framework on PCD. The SSR Policy Framework was consequently developed and adopted in 2013. The AUC as well as RECs therefore need to enhance their capacities in order to effectively fill out the role given to them in the SSR policy framework. This includes the development of regional SSR policies as well as the enhanced capacities to assist Member States in their SSR efforts, among others. SSR interventions need to be closely coordinated with and linked to all other elements of PCD, including governance and reconciliation aspects.



Specific objective 6 is **to ensure that AU and RECs have the capacities to effectively fulfil their role as defined in the SSR policy framework.**

Priority 3 Specific Objective 6 indicators

- Number of Member States supported in implementing SSR policy
- Evidence of SSR assistance requests addressed by AU and RECs
- SSR processes supported by AU/RECs are gender sensitive
- Number of required civilian SSR experts provided in support of AU peace support operations

There are five strategies to address the specific objective, all rooted in the mandate given to AU and RECs by the SSR policy framework. First, regional SSR policies are to be developed and to be used as an instrument for standardization and harmonisation of national SSR policies. AU and RECs will collaborate not only with each other, but also with Member States on aligning the policies and developing mechanisms for monitoring the implementation of SSR policies on national level. Second, capacities of AU and RECs will be developed through several interventions in order to assist Member States in the development and implementation of national SSR policies. They include the development and implementation of SSR assessment tools, guidance notes, mobilisation of funds, conduction of SSR trainings as well as financial support to Member States. Third, AU and RECs will, through dialogue forums and other mechanisms, bring together relevant SSR stakeholders on the continent. Forth, a continental code of conduct for armed forces involved in African peace support operations will be developed in line with the AU Operational Guidance Note (OGN) on the Development of Codes of Conduct for African Security Institutions. Finally, an expert roster will be developed in order to assure that SSR experts are ready to be deployed in PSOs and to Member States on a short-term notice.

3.7 Capacities of the AUC and the RECs/RMs to respond to DDR challenges

The Disarmament, Demobilization and Reintegration (DDR) of ex-combatants is a complex process, with political, humanitarian and socio-economic dimensions. These dimensions are integral to promoting peace, security and stability in Africa and spans across the initial stabilization of war-torn societies and into their long-term development through laying of groundwork for safeguarding and sustaining of communities in which these individuals return, while building national capacity for long-term peace, security and development.



Specific objective 7 is **to ensure enhanced capacities of AUC, RECs/RMs and Member States to meet the DDR challenges in post-conflict African countries.**

Priority 3 Specific Objective 7 indicators

- Number of DDR Assistance requests addressed by AU and RECs
- Number of AU and RECs DDR expertise deployed within peace support operations
- Number of DDR documents developed and continental dialogue platforms facilitated
- Evidence of required DDR expertise provided in support to AU peace support operations

There are five main strategies envisaged to reach this objective. The first strategy is geared towards mainstreaming gender through supporting DDR-related gender-sensitive activities that are also responsive to the needs of children and other marginalised and vulnerable groups. The second strategy consists of supporting DDR capacity building for Member States, RECs/ RMs and AU peace support operations, including through the deployment of AU sponsored DDR experts. The third strategy entails the development of DDR policy documents, SOPs and training material to harmonize continental language on DDR. The fourth strategy involves convening a number of DDR forums in support of regional and continental dialogue on DDR. Finally, Member States will be assisted in fundraising for national DDR activities and in monitoring and evaluation mechanisms for the DDR processes they are engaged in. These strategies will be implemented in close collaboration with the United Nations and other international partners and organisations.



4 Strategic Priority 4: Strategic Security Issues

Based on a broad notion of human security the African continent will be faced with a series of strategic security challenges in the next five years. Problems identified include inadequate and disjointed efforts to address illicit flows of Small Arms and Light Weapons (SALW); mines, explosives and improvised explosive devices (IEDs); terrorism; and organized crime.

The objective for the strategic priority 4 of the roadmap is **to contribute to enhancing the timeliness and effectiveness of the response to strategic security challenges by all stakeholders.**

Priority 4 Strategic Objective Indicators

- Evidence of effective policies, programs and capacities being developed and implemented to address transnational threats.
- Evidence of Member States incorporating/implementing gender dimensions in SALW control programmes including national plans, national commissions, legislation, data on arms and violence against women and vulnerable groups

The strategic priority 4 has been broken down into seven specific objectives, each of them addressing one major obstacle to effective response strategies. They are presented in the following sections.

4.1 Illicit flow of SALW

The APSA assessment has drawn attention to the fact that the effectiveness in which illicit flows of SALW are currently addressed is limited. This is due to a number of circumstances, amongst others: non-domestication of legal and policy instruments to address the illicit flow of weapons; weak operational capacities of Member States to prevent, detect and respond to illicit SALW trafficking and circulation; insufficient updated research, data and analysis on trafficking and circulation of illicit SALW to support evidence-based programming; the lack of a comprehensive monitoring and evaluation capacity with regards to illicit SALW control interventions; the absence of an effective law enforcement cooperation and coordination mechanism with a continental and regional scope to facilitate inter-state cooperation; as well as limited capacities of PSOs in managing and accounting for weapons and implementing illicit SALW control interventions.

Specific objective 1 is **to effectively implement integrated, comprehensive and sustainable policies and measures to address the illicit flow of SALW in line with international instruments and best practices.**

Priority 4 Specific Objective 1 indicators

- Evidence of Member States marking arms and maintaining records
- Evidence of Member States cooperating in arms tracing and seizure
- Evidence of Member States securing arms stockpiles
- Evidence of Member States adopting legislation and measures to regulate arms ownership and transfers, and criminalizing illicit activities
- Evidence of Member States' ownership and financial contribution to national policies and programmes

The main strategies/activities envisaged in order to reach this objective are five-fold. First, bi-annual Steering Committee meetings to strengthen coordination initiatives, financial and technical resources for Member States will be mobilized and direct technical support given to Member States. It is expected that this will help effectively domesticating legal instruments to address the illicit flow of weapons. Second, operational support to priority interventions in SALW control (training, purchase of equipment, development of guidelines, etc.) will be provided. It is assumed that this will build operational capacities in Member States. Third, expert studies in collaboration with RECs/RMs and research groups will be commissioned, reports and data from RECs, RMs and research groups compiled, findings validated, suggested strategic responses drafted, and methods of evidence based planning employed. It is expected that these measures will make comprehensive knowledge on the flow of illicit SALW on the continent available. Fourth, basic guidelines for the integration of evaluations and assessments in project design by AU/RECs/RMs will be developed and AU/RECs/RMs and partners will support the compilation of biennial reports on SALW control. The expected result of these activities is that monitoring capacity in SALW control has been established. Finally, technical support will be given to PSOs in developing SOPs and guidelines to manage and account for weapons, and also in streamlining SALW control into ConOps and mission mandate. In addition, training and operational support will be provided to PSOs in implementing mandated SALW control interventions. The expected outcome of these activities is to enhance PSOs' capacity to manage weapon holdings and stockpiles and implement SALW control interventions is built.

4.2 Mine action and counter-IED/explosives management

The inability of Member States to fully meet their obligations under the Anti-Personnel landmines Convention and the Convention on Cluster Munitions has been identified as a challenge. This is due to five reasons: The limited technical and operational capacities of Member States to implement mine action programmes; a lack of integrated and sustainable policies and programmes to support victims of landmines and unexploded ordnance (UXO); the absence of both inter-state modalities and agreements to clear mines in border areas as well as regional mechanisms/platforms to mobilize resources and foster south-south cooperation; and the limited expertise, financial and operational resources at the level of PSOs to deal with the threat of IEDs and UXOs.



Specific objective 2 is **to implement mine action and counter-IED/explosives management programmes by affected Member States and PSOs in an integrated and sustainable manner.**

Priority 4 Specific Objective 2 indicators

- Evidence of Member States progress towards their clearance deadlines/targets
- Evidence of victims' assistance policies and programmes
- Evidence of participation of women in national mine action
- Conclusion of agreements and development of cross-border demining projects
- Resources mobilized through the South-South cooperation platform
- Percentage of IEDs detected and disposed by AU-PSOs

The main strategies/activities envisaged in order to reach this objective include collaboration with Mine Action centres to deliver training to member state practitioners. In addition demining and training equipment will be provided to affected Member States and trainings on various Mine Action components (awareness, program management, landmine impact surveys, gender mainstreaming, etc.) delivered. The expected result of these measures is that technical and

operational capacities of Member States to implement mine action programs are built. In addition, technical support and training to Member States on developing and sustaining victims' assistance programmes will be provided and guidelines and best practices on victims' assistance developed and disseminated. The expected outcome is the integration of victim assistance programmes into national policies.

Strategies/activities will also include: the conclusion of interstate agreements to survey and demine border regions under the auspices of the AU Border Programme (AUBP) will be facilitated with a view to reach agreement reached and develop projects to demine border areas; the development of south-south cooperation strategy and implementation modalities and a biennial donor conferences and south-south cooperation platforms convened. The expected result of this is that the South-South Cooperation platform and continental resource mobilization modalities will be established.

Finally, technical support to PSOs in streamlining counter-IED and explosives management in the development of Concepts of Operations (ConOps) will be provided and technical and operational support to capacitate PSOs in the area of counter-IED and explosives management mobilized. The expected outcome of these activities is that counter-IED expertise and equipment will be integrated into PSO mandates and support packages.

4.3 Weapons of Mass Destruction (WMD) disarmament and non-proliferation

Implementing the international regimes on WMD disarmament and non-proliferation has been identified as being little effective. This is attributed to the non-domestication of legal and policy instruments against WMD; weak operational and institutional capacities of Members States; and insufficient research and data on the threat and risks of illicit chemical, biological and nuclear proliferation and trafficking.



The specific objective 3 is to effectively implement instruments and policies to address WMD disarmament and non-proliferation.

Priority 4 Specific Objective 3 indicators

- Technical assistance and training provided to Member States to domesticate legal and operational aspects of the international instruments against WMD
- Member States establishing/designating the required implementation mechanisms/bodies

The main strategies/activities envisaged in order to reach this objective are two-fold. First, there will be collaboration with the international bodies to sensitize states, identify gaps and assistance will be channelled to Member States. In addition, technical and operational resources for Member States from donors and international partners will be mobilized. The expected result of these activities is that legal instruments to address WMD disarmament and non-proliferation will be effectively domesticated. Furthermore, expert studies will be commissioned and reports and data available with the international bodies compiled with a view to make available comprehensive knowledge on the risks and threats of chemical, biological and nuclear proliferation and trafficking.

4.4 Counter-terrorism measures

So far, counter-terrorism efforts on the African continent have been mainly ineffective and unsustainable. There are a number of reasons for this, including the absence of an effective rule

of law-based criminal justice response to terrorism; poor capacities and training of law enforcement agencies to implement preventive and response measures to terrorist acts; the lack of integrated approaches to prevent radicalization, address the conditions conducive to the spread of terrorism and engage civil society; poor coordination and collaboration among states in policy, legislative and operational counter-terrorism measures; the absence of rigorous and updated operational research and analysis that informs policy development and response measures; and also the non-existence of an inclusive continental platform to coordinate counter-terrorism (CT) action among Member States, RECs, donors and assistance providers.



The specific objective 4 is **to make national and regional counter-terrorism measures effective in preventing and responding to terrorist acts.**

Priority 4 Specific Objective 4 indicators

- Evidence of MS authorities foiling terrorist acts
- Evidence of terrorism cases investigated and tried in courts
- Evidence of CSO involvement in/support for national counter-terrorism efforts
- Evidence of inter-state cooperation in terrorism investigations and trials
- Evidence of Member States sharing and utilizing intelligence, reports and studies on terrorism and counter-terrorism
- Evidence of effective support and coordination provided to Member States by donors, partners and RECs
- Evidence of de-radicalization initiatives by RECs
- Evidence of programmes implemented by counter violent extremism (CVE) initiatives

The strategies adopted to address the causes of the problem and reach the objective are six-fold. First, legislative support will be provided to Member States in ratifying and domesticating regional and international anti-crime and counter-terrorism instruments; likewise training and capacity building support will be given to judges, prosecutors and law enforcement agencies in integrating and implementing essential components; in addition best practices will be exchanged on criminal justice responses to terrorism, rule of law and human rights (criminalization, investigations, cooperation, detention, trials, corrections, etc.). These activities should contribute to both the effective domestication of legal instruments to address counter-terrorism and the strengthening of criminal justice systems.

Second, training and support will be provided to law enforcement agencies in preventing and responding to terrorist acts (information and intelligence gathering and analysis, protection of sensitive sites, investigations and evidence gathering and protection, countering IEDs, anti-money laundering and countering terrorism financing, recruitment and internet abuse, emergency response, human rights safeguards, etc.). The expected result is that capacities of law enforcement agencies to implement preventive and response measures to terrorist acts are built.

Third, consultative and inclusive platforms will be provided to develop context-specific approaches and programmes to prevent radicalization and recruitment and address conditions conducive to the spread of terrorism and preventing radicalization. In addition, early recovery, counter-radicalization and community engagement components will be streamlined into regional cooperative counter-terrorism operations. The expected outcome is that national and regional integrated strategies to prevent radicalization, addressing the conditions conducive to the spread of terrorism, and civil society engagement is developed and implemented.

Fourth, consultation and cooperation platforms for intelligence sharing and coordination and harmonization of counter-terrorism efforts will be strengthened and sustained; political and operational support to the development of cooperative regional counter-terrorism operations and intelligence sharing mechanisms including within the framework of the Committee of Intelligence and Security Services of Africa (CISSA), the African Centre for the Study and Research on Terrorism (ACSRT) Focal Points and the Nouakchott and Djibouti Processes will be provided; the role of the PSC pursuant to the 2004 Protocol and the relevant communiqués will be operationalized; support to the harmonization of legislation and other inter-state modalities regarding extradition and arrest warrants will be given; and African Arrest Warrant against individuals accused of terrorist acts will be operationalized and implemented. The expected outcome of these measures is an enhanced judicial and operational cooperation among Member States and regions.

Fifth, periodic and thematic expert research and studies will be commissioned; Focal Points will be designated by Member States to the ACSRT and information will be shared regularly; Member States will submit their annual reports pursuant to the 2004 Protocol; counter-terrorism will be harmonized and integrated into CEWS; the ACSRT CT Situation Room will be operationalized; and an assessment and evaluation mission to Member States will be conducted. As a result comprehensive knowledge and analysis will be available on terrorist groups modus operandi, agendas and structures; recruitment and financing methods; and related trends.

Finally, an annual Consultative Counter-Terrorism Forum will be convened; the AU-RECs Steering Committee on Counter-terrorism and transnational organized crime (TOC) will be established; RECs will be supported to replicate the efforts at African Union levels; and sub-region cooperation/coordination centres at RECs levels will be established. It is expected that an effective coordination mechanism is established among Member States, RECs, donors and assistance providers in identifying and aligning priorities and allocation of resources.

4.5 Illicit Financial Flows

Implementation of the international instruments on anti-money laundering and countering the financing of terrorism (AML/CFT) is ineffective and incomplete. Due to a combination of factors that include inadequate capacity among institutions such as Financial Intelligence Unit (FIUs) and Law Enforcement Agencies (LEAs) that are undertrained, understaffed or lack a clear mandate and powers to enforce AML/CFT measures; and law awareness among financial and non-financial reporting entities; many jurisdictions have inadequate AML/CFT laws while others have implementation challenges. There is also inadequate inter-state cooperation on AML/CFT issues including on judicial, institutional and operational matters; the existence of regulatory and operational challenges to address AML/CFT in the informal sector and cash-based economy; inadequate regulatory measures to address the vulnerability of non-profit organizations to abuse by terrorists; and, finally, poor capacities and integrated approaches to address proceeds of criminal activities such as environmental crimes, trafficking and smuggling.



The specific objective 5 is to **fully and effectively implement international legal instruments and recommendations of the Financial Action Task Force (FATF) and the High Level Panel on Illicit Financial Flows recommendations.**

Priority 4 Specific Objective 5 indicators

- Evidence of Member States developing and enforcing national legislation and practices on AML/CFT
- Evidence of FIU and LEAs adequately capacitated to fulfil their mandate
- Evidence of preventive and response measures to deal with AML/CFT in the informal economy and charity establishments and other designated non-financial businesses and professions (DNFBPs)
- Evidence of effective policies and practices linking anti-environmental crime efforts to AML/CFT
- Evidence of increased suspicious transaction reports received by FIUs
- Evidence of increased awareness of AML/CFT among reporting entities

The main strategies/activities envisaged in order to reach this objective are five-fold.

First, the delivery of technical and legislative support to Member States in establishing and strengthening FIUs, and developing/strengthening their mandate and operational modalities will be facilitated; and FIUs and financial establishments will be sensitised and trained in implementing FATF recommendations, the recommendations of the High Level Panel on Illicit Financial Flows and the International Convention for the Suppression of the Financing of Terrorism. It is assumed that Financial Intelligence Unit (FIUs) are established, capacity is built and effective mandates are provided.

Second, regular forums/sessions to foster exchanges, common understanding and approaches to enhance inter-state cooperation will be facilitated; and joint trainings for Member States on international cooperation in judicial matters regarding AML/CFT will be conducted. This will lead to effective inter-state cooperation on AML/CFT issues, including on judicial, institutional and operational matters.

Third, operational guidance notes will be developed and best practices compiled to assist Member States address AML/CFT within the context of the informal sector and cross border transportations of currency. In addition, joint trainings and sensitisation exercises will be organized to address cash couriers and cross border cross-border transportations of currency also including other DNFBPs. It is expected that this will strongly support the implementation of effective regulatory and operational measures to address AML/CFT in the informal sector and cash-based economy.

Fourth, technical and legislative support will be provided to Member States in regulating operations of non-profit organizations, and non-profit organizations and CSOs will be trained on transparency and preventing abuse for terrorist financing purposes. It is expected that this will lead to the implementation of effective regulatory and transparency measures to prevent the abuse of non-profit organizations.

Fifth, LEAs such as police, the judiciary and office of the prosecutor, customs, authorities etc. will be sensitised and trained on investigation of AML/CFT crimes including capacity building in asset recovery.

Sixth, studies and research will be commissioned and supported to identify trends in terrorism financing and gaps in response measures; and the development of integrated and comprehensive approaches and policies will be assisted to address terrorism financing through environmental crimes, trafficking and smuggling. It is expected that these measures will lead to the development of effective policies and guidelines to address terrorist financing from environmental crimes, trafficking and smuggling.

4.6 Africa's Integrated Maritime Strategy (AIMS)

The African Union's maritime security policy is weakly integrated into APSA: This has mainly three reasons: the absence of a Plan of Action for the Operationalization of the 2050 AIM Strategy; a lack of effective mainstreaming of maritime security into CEWS; and the non-alignment of RECs strategies on maritime security to AIMS 2050.



The specific objective 6 is **to fully integrate the 2050 Africa's Integrated Maritime Strategy (AIMS) into APSA.**

Priority 4 Specific Objective 6 indicators

- Evidence of the AUC developing an implementation matrix and Member States adopting a Plan for the Operationalization of the 2050 AIMS
- Evidence of revised CEWS indicators and guidelines
- Evidence of RECs developing and adopting harmonized strategies on maritime security

The main strategies/activities envisaged in order to reach this objective are three-fold. First, a Plan of Action for the Operationalization of the 2050 AIMS in accordance with AU Assembly Dec. 496 (XXII) will be developed and adopted – paving the way for the effective implementation of a Plan of Action for the Operationalization of the 2050 AIMS. Second, the CEWS Indicators' Module (data collection and monitoring) will be amended and the CEWS Handbook (2008) revised, with a view to effectively mainstreaming maritime security into CEWS. And third, regional workshops will be held to harmonize RECs strategies on maritime security. The expected effect will be that RECs strategies on maritime security are aligned to AIMS 2050.

4.7 AFRIPOL as coordination mechanism

Coordination in combating Transnational Organized Crime (TOC) has been limited due to 4 main reasons: a lack of effectively domesticating legal instruments to address TOC; weak legal codes to address TOC; a lack of information, analysis and response options for member states and RECs/RMs with regard to TOC; and insufficient knowledge about the nexus between TOC, terrorism and violent extremism. In addition a collective anti-cyber crime policy is missing due to 4 main reasons: a lack of effectively domesticating legal instruments to address cyber crime; non-tabling of the AUC Chairperson report on cyber security; the absence of national cyber security frameworks as well as the absence of REC and REC-to-REC agreements on mutual assistance in combating cyber crime. Moreover, Africa is faced with not only conventional security threats such as internal and interstate conflicts, but also non-conventional threats arising from a changing international environment, which include transnational organized crime and terrorism. It is in this context that AU Member States agreed to establish a mechanism for police cooperation, AFRIPOL, at the strategic, operational, and tactical levels. In pursuance of Executive Council Decision EX.CL/Dec.820 (XXV), adopted at its 25th Ordinary Session held in Malabo, Equatorial Guinea, from 20 to 24 June 2014, the Commission has facilitated the meeting of the Ad Hoc Committee on the operationalization of AFRIPOL on 2 July 2014 in Addis Ababa; on 2 October 2014 in Kampala, Uganda; from 18 – 19 March 2015 in Algiers, Algeria; and on 2 June 2015 in Ad-

dis Ababa. The Ad Hoc Committee will report its work and present the to the meeting of African Police Chiefs to be held in Algiers, Algeria from 13-14 December 2015 the drafts of the Statute, Structure, Program of Work and Action Plan for consideration.



The specific objective 7 is **to effectively strengthen the cooperation and coordination in the combat of TOC and a continental anti-cyber crime policy is actively promoted.**

Priority 4 Specific Objective 7 indicators

- Evidence of ratification and domestication of legal instruments on TOC and cyber crime in Member States
- Evidence of the establishment – in collaboration with AFRIPOL – of a regional TOC centre
- Evidence of Member States efficiently addressing the nexus between TOC and terrorism and violent extremism
- Evidence of Member States adopting cyber crime frameworks
- Evidence of increased REC-to-REC assistance in combating cyber crime

The main strategies/activities envisaged in order to reach this objective are nine-fold. First, annual reports will be submitted by Member States to the AUC. Second, a mapping of the status quo will be organized and areas for follow-up activities identified. Third, AUC with AFRIPOL and regional police organisations will establish a centre to systematically provide Member States and RECs with information, analysis and response options for with regard to TOC; and guidelines for the establishment of national specialised TOC investigation units will be developed. Four, a workshop will be organized to explore the nexus between TOC and terrorism and violent extremism, on whose basis detailed policy recommendations will be developed. Five, the AU Convention of Cyber Security and Personal Data Protection in accordance with AU Executive Council Dec. 846 (XXV) will be ratified and domesticated. Six, an AUC Chairperson report on cyber security will be tabled which (1) describes the extend of the threat to peace and security in Africa, (2) maps national efforts of Member States to counter-act IT-based threats against peace and security, (3) documents some best practice and lessons learned, (4) follows up on the AU Assembly decision to harmonize national legislations through a convention on cyber security, (5) suggests coordinating activities by the AUC vis-à-vis the RECs, and (6) details a strategy of how to mobilize the support of international partners such as the UN or the EU in these efforts. Seven, regional workshops on the design of national cyber security frameworks in accordance with AU Executive Council Dec. 846 (XXV), §24 will be facilitated. Eight, an agreement on mutual assistance in cyber-crime agreements in accordance with AU Executive Council Dec. 846 (XXV) will be drafted, adopted and ratified. Finally, efforts will be undertaken to establish and make AFRIPOL effective.



5 Strategic Priority 5: Coordination and Partnerships

At policy level, the implementation of APSA shall be guided by the roadmap under the leadership of the AUC. RECs/RMs commit to harmonize respective strategies and priorities with the roadmap and ensure the roadmap informs their engagements. Following the harmonisation role of the AUC, the implementation of APSA is based on effective collaboration and coordination of several actors, including the AU, RECs/RMs, Member States, financial and technical partners and also CSOs, including academia and think tanks. Furthermore, for the effective operationalization of the required capacities for conflict prevention, management and resolution in each stakeholder institution, considerable intra-organisational development remains a priority. The full operationalization of APSA is therefore predicated upon collaboration and coordination (inter and intra institutional) as one of the priorities to be addressed with the utmost attention.

The objective for the strategic priority 5 of the roadmap is **to contribute to enhanced effectiveness of coordination and partnership within the APSA framework.**

Priority 5 Strategic Objective Indicators

- Evidence of regional peace and security strategies designed and implemented in line with the AU policy framework
- Evidence of common programming, including formulation of common objectives, between AUC departments and between AU and RECs/RMs
- Evidence of common positions on APSA framework between AU and RECs/RMs
- Evidence, documentation and joint analysis of the implementation of the subsidiarity principle in several operations in the field
- Evidence of lessons learned from the implementation of the subsidiarity principle (results and challenges) that are feeding new programming
- Evidence of implementation and monitoring of decisions the AUC has committed to
- Evidence of efficient use and possible mutualisation of human resources between the AUC and RECs/RMs
- Evidence of timely deployment of the Panel of the Wise from the AUC

Strategic priority 5 has been broken down into six specific objectives, each of them addressing one major obstacle to effective coordination. They are presented in the following sections.

5.1 Coordinating function of the PSC

The analysis of the previous roadmap highlighted the limited effectiveness of the coordinating function of the PSC with the RECs/RMs mechanisms (see PSC Protocol 2002). This limited effectiveness was due to three main reasons:

First, there were limited interactions between the AU-PSC and similar mechanisms within RECs/RMs. Second, there was a lack of common understanding of the principles of subsidiarity, complementarity and comparative advantage (what they mean and entail) between different actors. Finally, there was a lack of clear guidelines to make the interactions between PSC and RECs/RMs mechanisms fully operational.



Specific objective 1 is therefore **to make the coordinating function of the PSC effective.**

Priority 5 Specific Objective 1 indicators

- Evidence of decisions from PSC taking into account RECs/RMs inputs
- Evidence of common PSC-RECs/RMs positions
- Operation of joint AU-RECs/RMs Field Missions/Liaison Offices

The main strategies/activities envisaged in order to reach this objective are three-fold. The first one consists of allowing the participation of RECs/RMs in relevant PSC meetings in order to make sure that the interactions between the AU-PSC and similar mechanisms within RECs/RMs are in place. The second strategy consists of organizing a series of dialogue sessions between the AUC and RECs/RMs on the definition of subsidiarity (and/or of partnership) and between PSC and RECs/RMs on the nature of their necessary interactions. It is expected that these activities will lead to the development of two strategy documents (one that highlights guiding principles and expected results from using the subsidiarity principle, the second one being dedicated to highlighting principles and expected results from PSC – RECs/RMs interactions) and to clear agreements between the AUC, RECs/RMs and PSC to use these strategy documents as a basis for future interactions. Finally, dialogue sessions between PSC and RECs/RMs on the nature of RECs/RMs interactions with PSC will be organized. The expected outcome of this activity is the development of guidelines/policy document stipulating the nature of RECs/RMs interactions with PSC.

5.2 Intra- and inter-departmental collaboration/coordination

Evaluations and consultations between APSA stakeholders have highlighted the limited intra- and inter-departmental collaboration and coordination at AUC/RECs/RMs levels as a problem that required special attention. The analyses identified two main causes explaining the limited level of coordination: each department is characterized by weak horizontal linkages and the horizontal linkages between the various APSA components are also weak.



Specific objective 2 is therefore **to reach an enhanced intra and inter-departmental collaboration and coordination at the level of the AUC and RECs/RMs.**

Priority 5 Specific Objective 2 indicators

- Evidence of collaboration/coordination between PSD and other AUC Departments in different conflict phases (prevention, management, resolution and PCRD)
- Evidence of deepened collaboration and linkages between the various APSA components and the African Governance Architecture (AGA) both at the AU and REC level
- Evidence of joint APSA activities and programming between the PSD and other relevant Departments within the AUC

The main strategy consists of organising a series of information sharing and coordination meetings between different PSD divisions and units at the level of the AUC and of each REC/RM and to perform joint planning sessions. It is expected that once these strategies are implemented, the coordination mechanisms within various PSD divisions and units will be in place. The second strategy consists of institutionalizing the Inter-Departmental Task Force on Conflict Prevention (IDTFCP) at technical and policy levels, in order to make sure that the horizontal linkages between the various departments are functioning.

5.3 MoU between the AU and the RECs/RMs

The third problem that needs to be addressed relates to the limited implementation of the MoU between the AUC and the RECs/RMs in the realization of APSA. This problem is due to: a lack of a clear and commonly shared understanding of the concepts of subsidiarity, complementarity and comparative advantage (what they mean and entail); a lack of a clear and commonly shared understanding of the concept of coordination (what it means and entails); policies/standard operation procedures between the AUC and the RECs/RMs are not harmonized; and, finally, there is no adequate monitoring system for the implementation of the MoU.



Specific objective 3 is therefore **to ensure that the MoU between the AU and the RECs/RMs is implemented effectively.**

Priority 5 Specific Objective 3 indicators

- Participation of AU and RECs/RMs Liaison Officers in all relevant statutory meetings of the AU and RECs/RMs
- Evidence of the fact that RECs/RMs Liaison Offices have access to all relevant reports required to fulfil their mandate under the PSC Protocol
- The Chairperson of the AU Commission and Chief Executives of the RECs/RMs meet at least once a year
- Evidence of institutionalised and systematic use of channels for information sharing at higher political level and technical level between the AU and the RECs/RMs
- Evidence of institutionalisation and use of common conflict analyses
- Examples of joint fact finding and/or monitoring missions between the AU and the RECs/RMs
- Evidence of common reports – RECs/RMs contributing to AUC and PSC reports to the AU Assembly of Heads of State and Government

The strategies adopted to address the causes of the problem and reach the objective are four-fold. First, dialogue sessions aiming at clarifying and agreeing on the concepts underlying the implementation of the MoU (subsidiarity, coordination) will be organized, a strategy document making the subsidiarity concept operational developed, and a strategy document drafted. It is expected that through these measures the concepts of subsidiarity, complementarity and comparative advantage (and/or partnership) are clearly defined and agreed upon.

Second, policies and standard operation procedures between the AUC and the RECs/RMs will be harmonized; a strategy document making the concept of coordination operational will be developed and a strategy document drafted; and the AU-RECs/RMs Task Force on strengthening the relations between the AUC and RECS/RMs in the area of peace and security will be institutionalized. As a result it is expected that the concept of coordination is clearly defined and agreed upon.

Third, through dialogue sessions between AU and RECs/RMs on the types of policies and standard operation procedures that need to be harmonised, in the end harmonized policies and standard operation procedures between the AU and the RECs/RMs will be put in place.

Fourth, a monitoring system will be developed; staff will be allocated to specific monitoring functions; common AU and RECs/RMs monitoring missions will be conducted (one per year in each REC/RM); and common AU and REC/RMs monitoring meetings will be held (one per year). It is expected that these steps will lead to the establishment of an adequate monitoring system for following-up on the MoU implementation.

5.4 The AU Liaison Offices

Liaison Offices play a fundamental role in the implementation of APSA. However, evaluations and consultations between stakeholders indicated that the relevance and efficiency of AU Liaison Offices established by the PSC and of AULOs within the RECs/RMs is rather limited. Analyses show that this problem is due to the following: the AU Liaison Offices/Field Missions mandate is not revised despite changes on the ground (there are no clear exit strategies for AULOs and unclear lines of communication and reporting); there are limited direct links between different Liaison Offices (AULOs/Field Missions and AULOs to the RECs/RMs and AU Regional Offices); and, AULOs suffer from limited (in numbers and relevance) technical capacities.



Specific objective 4 is therefore **to ensure that the AU Liaison Offices are relevant and efficient.**

Priority 5 Specific Objective 4 indicators

- Participation of AU Liaison Offices in all relevant statutory meetings of the AU and RECs/RMs
- Evidence of institutionalised and use of common conflict analyses
- Evidence of close involvement of AU Liaison Offices in the organisation of joint fact-finding and/or monitoring missions done by the AU, the RECs/RMs and/or partners
- Evidence of improved quality of monitoring of peace agreements, political situations on the ground, and implementation of PSC decisions on the ground

The strategies developed to address the causes of the problem and reach the objective are threefold. First, a series of analyses/evaluations of the relevance, efficiency and effectiveness of AULOs will be launched; the relevance, efficiency and effectiveness of AULOs will be evaluated; and guidelines for formulating relevant mandates for AULOs depending on changes in political/security situation on the ground will be developed. It is assumed that this leads to a regular review of AULO's mandates and reflection of the political/security situations on the ground.

Second, needs in terms of human resources specific to each Liaison Office (directly linked to the mandate of the AULO) will be analysed; clear guidelines for staff recruitment will be developed; and staff will be recruited. It is expected that through these measures AULO will be equipped with relevant staff (in adequacy with their respective mandate).

Third, a comprehensive monitoring system will be developed; staff will be allocated to specific monitoring functions; and common AU-RECs/RMs (and partners) results-monitoring meetings will be held. It is anticipated that these steps will bring about an adequate monitoring system for following-up on the performance of AULOs.

5.5 Policy and strategic dialogue within APSA partnerships

Since its creation, the relations with financial and technical partners of APSA are crucial to the success of its implementation. However, the analysis of the previous roadmap reveals the limited relevance and efficiency of partnership(s) between the AUC and its external partners. This problem is due to six main causes:

- Limited common understanding of the concept of partnership (what it means and entails);
- Limited common understanding of the concept of capacity building (what it means and entails);
- Lack of capacity at the AU level to monitor the extent to which it complies with the different decisions it has committed to implement;

- Disconnect (i.e. absence of clear strategic and results-based links) between the AU-partners dialogue at higher political level and its implementation at technical level;
- Lack of adequate coordination between partners;
- Lack of monitoring mechanisms allowing the AU and its partners to regularly assess the relevance, efficiency and effectiveness of their partnership.



Specific objective 5 is therefore **to ensure that the policy and strategic dialogue within APSA partnerships are effective.**

Priority 5 Specific Objective 5 indicators

- Evidence of institution-to-institution (AU-RECs/RMs-EU-UN) common policy dialogue
- Evidence of joint reports based on results
- Evidence of AU and RECs/RMs quality/results-based and timely financial and narrative reports to their partners
- No/limited evidence of conflicts/tensions between AU and partners

The strategies envisaged for addressing the causes of the problem are five-fold. First, dialogue sessions between AU and partners as well as between RECs/RMs and their partners on the content of the strategy document and on the most appropriate process leading to its conception will be organized; and a strategy document will be drafted. It is expected that, as a result, the AU and its partners as well as each REC/RM and their partners, share a common understanding of the concept of partnership. Second, dialogue sessions between AU and partners on the content of the strategy document and on the most appropriate process leading to its conception will be facilitated; and a strategy document drafted. The expected outcome will be that the AU and its partners as well as each REC/RM and their partners, share a common understanding of the concept of capacity building. Third, a monitoring system will be developed, staff will be allocated to specific monitoring functions, and common AU-partners results-monitoring meetings will be held (twice a year). This will lead to the establishment of an internal monitoring system that allows for following-up on the different decisions it has committed to implement. Fourth, strategic meetings between AU and partners gathering high level representatives and technical staff will be held to address the disconnect between different AU-partners dialogue levels. Fifth, dialogue meetings between AU and partners will be held and a harmonised programme support plan covering the roadmap timeframe will be developed with a view to the joint development of harmonised and aligned partnership tools between the AU and international partners.

5.6 Financial ownership of APSA

Despite several decisions by the AU Assembly of heads of State and Government and/or provisions made in the establishment of the PSC, APSA still suffers from the absence of financial ownership by the AUC and RECs/RMs, and from a high dependency on donors and international partners. This problem is due to two main reasons: the Member States' contribution to Peace Fund is low and the APSA has attracted very limited additional funding from alternative sources of finance.



Specific objective 6 is therefore **to ensure that the financial ownership of APSA has increased and dependency on donors and international partners decreased substantially.**

Priority 5 Specific Objective 6 indicators

- Evidence of increased revenues into the Peace Fund and similar regional funding mechanisms
- Evidence of increased AU operational budget from Member States
- Evidence of increased AU programme budget from Member States
- Evidence of increased AU PSO budget from Member States
- Evidence of increased funds emanating from private sector

The strategies envisaged for addressing the causes of the problem are two-fold. First, resource mobilization by Member States will be facilitated through the implementation of §8(5) of the PSC Protocol and the conclusions of the retreat of the PSC on working methods (5-7 July 2007) on the establishment of a Resource Mobilization Committee well as implementation of AU Assembly Dec. 578 (XXV) on targets for the new scale of assessment. As an effect, Article 21(4) of the PSC Protocol on the establishment of a Revolving Trust Fund with the Peace Fund will be made operational. Second, a detailed AU budget (including revised or amended versions) will be published as part of the AU Assembly documentation; a detailed annual activity plan of the programmes/projects to be funded from the Peace Fund will be developed; a robust annual review mechanism will be introduced; and an expert study on fundraising from private sector and resource-based extraction industries will be commissioned. It is expected that these steps will make AU Assembly Decision 561 (XXIV) on alternative sources of funding operational.

Cross-cutting issues

An important aspect of the roadmap consists of mainstreaming and addressing cross-cutting issues of gender, climate change, natural resource governance, human rights and youth. **Gender, Peace and Security** is at the core of APSA, which strives to strengthen women's participation in peace, security and post-conflict reconstruction in Africa and improve the quality and effectiveness of mechanisms and institutions in charge of addressing issues of protection of women and children in conflict and post-conflict contexts. The roadmap should be seen as a key contribution to mainstreaming gender issues into the continental peace and security agenda and ensuring women's increased participation and protection in time of conflict. This will be done through enhancing capacities of relevant African Institutions to integrate gender into the continental peace and security agenda, supporting RECs/RMs in implementing regional action plans on Resolution 1325 and other key resolutions and strengthening capacity to monitor national action plans as well as strengthening advocacy, partnership, research and dialogue on gender, peace and security.

The promotion and defence of **human rights** is also mainstreamed in the roadmap, as the AUC and the RECs/RMs attempt to enhance capacities and coordination of Member States, institutions and other stakeholders to address human rights concerns in Conflict Prevention, Management and Reduction. Similarly, the roadmap addresses the issues of continental coordination, collaboration and research to mitigate the impact of **climate change** as a threat to peace and security in Africa. Likewise, **natural resource governance** is of great concern, and the roadmap engages APSA stakeholders to build their capacity to prevent conflicts and/or relapse into violence through inclusive and sustainable management of natural resources. Finally, special attention should be given to the **youth**, the roadmap encouraging the AUC and the RECs/RMs to develop and implement sustainable youth empowerment policies that aim to educate and integrate the youth of the continent in peace and security. **Migration and refugee issues** relate to all strategic priorities of the APSA Roadmap. During the implementation of the Roadmap, efforts must be undertaken to address the relationship between displacement, migration and peace and security.

Monitoring and Evaluation

During the period covered by the previous roadmap, efforts have been put into monitoring programmes at the level of the AUC and RECs/RMs. However, despite indicators of improvement, the AUC and RECs/RMs have not yet reached their full potential to systematically report on results. As demonstrated in this document, the AUC, RECs/RMs have embarked on the development of the roadmap for the period 2016-2020 using a results-sensitive approach and commit to putting in place a comprehensive monitoring¹ system that will allow highlighting results throughout implementation.

The first phase of APSA implementation will be dedicated to developing a comprehensive monitoring system that aims to:

- Share monitoring roles and responsibilities among all stakeholders involved in APSA;
- Allow RECs/RMs review and document their contribution to the implementation of the Roadmap
- Allow the AUC and RECs/RMs to collect and analyse indicators that have been specified during the APSA planning phase, **and** to collect and analyse indicators that have not been specified but that are likely to be as important to qualify progress as the ones initially identified;
- Allow relevant and timely management responses at AUC, RECs/RMs **and between** AUC and RECs/RMs during the implementation APSA;
- Allow AUC and RECs/RMs to be at the forefront of the development of peace and security indicators at regional and continental levels;
- Allow the AUC and RECs/RMs to deepen its partnerships' dialogue using monitoring data and, thereby, enhance the relevance and effectiveness of APSA.

The monitoring system will be developed in order to collect and analyse data/indicators at activity, output, specific objective and strategic objective levels. This implies, beyond the establishment of clear monitoring responsibilities of all stakeholders involved in APSA, the need to enhance their monitoring skills. For this purpose, the first phase of development of the monitoring system will consist of an in-depth dialogue with all stakeholders on their expectations, on their current capacities and on the definition of mechanisms allowing for the monitoring to take place effectively. On the basis of this in-depth dialogue, a monitoring method and tool, as well as a capacity building plan, will be developed. Once approved, the monitoring system will be put into practice with technical support provided by the AUC. It is of utmost importance that the monitoring system integrates all the outputs, the specific and strategic objectives, as well as each cross-cutting issue, defined in the results frameworks in order to fine-tune and concretise progress indicators throughout the implementation of the roadmap.

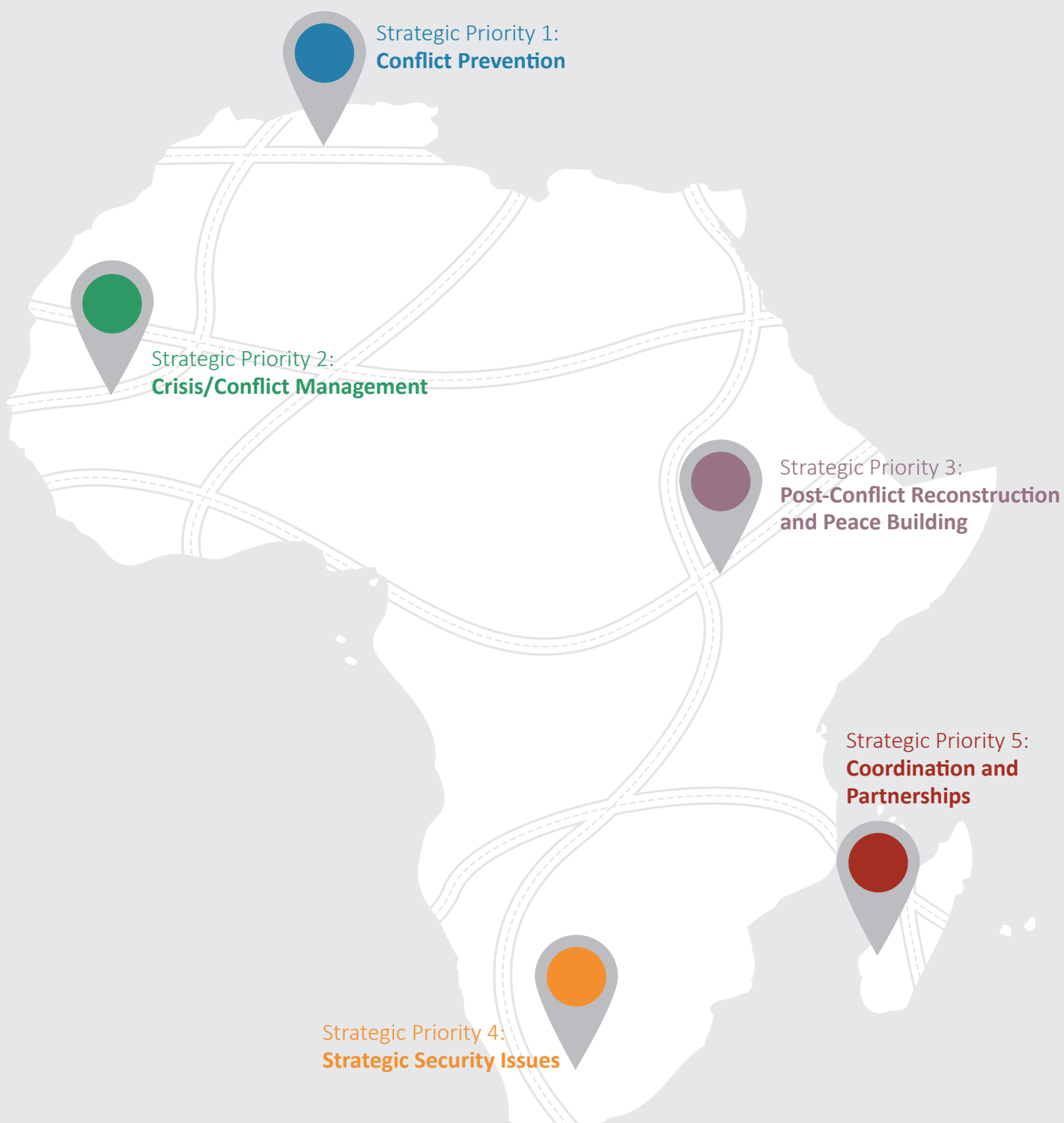
The AUC, RECs/RMs also commit to regularly evaluate the implementation of APSA: an internal mid-term review is planned to take place during the first half of 2018 in order to assess the extent to which progress indicators are being achieved, and to formulate recommendations on how to possibly enhance the relevance, efficiency, effectiveness and sustainability of the implementation of the APSA roadmap.

¹ Monitoring is defined as "a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an intervention with information regarding the use of allocated funds, the extent of progress, the likely achievement of objectives and the obstacles that stand in the way of improved performance" (OECD, 2002)



Annex

Strategic Priorities and Indicators





APSA Roadmap Impact Indicators

Vision 2016-2063 An integrated, prosperous and peaceful Africa, driven by its own citizens and representing a dynamic force in the global arena					
APSA Impact Indicators 2016 – 2020 Objective: To contribute to the full implementation of APSA ● Percentage of all armed conflicts in Africa where AUC and/or RECs have intervened ● Evidence (number or percentage) of conflicts arising within individual Member States as well as trans-border conflicts being successfully defused through use of coordinated conflict prevention and crisis management measures by the AUC and/or RECs/RMs; ● Evidence of violent national and/or trans-border conflicts being halted/deescalated through use of coordinated AUC and/or RECs/RMs mediation and other crisis management efforts (e.g. PSOs); ● Number of peace agreements reached following AUC and/or RECs/RMs interventions; ● Evidence of increasing women and youth participation in processes leading to peace agreements; ● Evidence of gender-sensitive peace agreements; ● Evidence of post-conflict peacebuilding (peace consolidation) processes being inclusively initiated and supported; ● Evidence of gender-sensitive post-conflict peacebuilding programmes (gender-sensitive constitution-making processes, gender-sensitive budgeting, policies and strategies addressing gender-based violence, etc.) ● Evidence of post-conflict peacebuilding projects (peace consolidation) being effectively implemented and monitored by AUC/RECs; ● Number of countries where violence did not flare up again during three years after an intervention of AU/REC; ● Evidence of compliance of the results of Peace Support Operations with core aspects of their respective mandate. Means of Verification APSA monitoring system; African Human Security Index (AHSI); Member countries' progress reports; AUC General Assembly reports					
Impact Level 2: APSA 2016-2020	Strategic Priority 1 Conflict Prevention		Strategic Priority 2 Conflict/Crisis Management		Strategic Priority 3 PCRD
	To contribute to effective, coordinated and timely direct and structural prevention of conflicts and crises by the AU and RECs/RMs.		Strategic Priority I To contribute to enhanced operational readiness of the ASF, and more effective African PSOs. Strategic Priority II To contribute to the effective and coordinated management and resolution of conflicts and crises through mediation by the AU and the RECs.		To contribute to effective, coordinated and timely support to post-conflict Member States and communities emerging from conflict.
					Strategic Priority 4 Strategic Security Issues
					To contribute to enhancing the timeliness and effectiveness of the response to strategic security challenges by all stakeholders.
Impact Level 1					Strategic Priority 5 Coordination and Partnership
				To contribute to enhanced effectiveness of coordination and partnership within the APSA framework.	

Strategic Priority Indicators				
Strategic Priority Indicators • Evidence of enhanced capacity of CEWS and EWS of the RECs/RMs to individually and collaboratively monitor, collect and analyse data on the basis of tools and methodologies developed • Conflict prevention interventions (direct and structural) are informed by systematic/joint early warning and analysis • Direct conflict prevention interventions by AU/RECs/RMs (preventive diplomacy) are timely, coordinated and effective • Evidence of structural prevention responses/interventions • Evidence of APSA stakeholders cooperation in preventive actions • Evidence of use of early warning reports by decision makers	Strategic Priority Indicators (I) • Evidence of cooperation between AU, RECs/RMs and Member States in the development and retention of PSO capabilities • Evidence of cooperation between AU, RECs/RMs and Member States in the planning and deployment of operations • Evidence of systems and procedures which enable the deployment of PSOs • Evidence of timely deployment of operations within the context of relevant frameworks • Evidence of effective planning and management of operations Strategic Priority Indicators (II) • Evidence of timely and coordinated mediation interventions by the AU, RECs/RMs • Evidence of enhanced capacity at the AU, RECs/RMs to plan, deploy, manage and support mediation interventions • Evidence of enhanced capacity by actors at national level to plan and conduct mediation interventions • Evidence of enhanced cooperation between the AU, RECs/RMs and the UN on mediation interventions	Strategic Priority Indicators • PCRD interventions and support to Member States are timely and based on a systematic assessment of post-conflict needs • Evidence of joint PCRD programming, including formulation of common objectives, between AUC departments, between AUC and RECs/RMs, between RECs/RMs and Member States as well as RECs/RMs and Member States • Evidence of PCRD initiatives in post-conflict Member States that are based on continental or regional PCRD policies and/or strategies • Evidence of enhanced capacities of AU and RECs to provide and coordinate support to post-conflict Member States, based on policies and strategies • Evidence of financial and in-kind support mobilised by AU/RECs and channelled to post-conflict Member States • Evidence of AU and RECs PCRD/DDR/SSR expertise deployed within peace support operations	Strategic Priority Indicators • Evidence of effective policies, programs and capacities being developed and implemented to address transnational threats • Evidence of Member States incorporating/implementing gender dimensions in SALW control programmes including national plans, national commissions, legislation, data on arms and violence against women and vulnerable groups	Strategic Priority Indicators • Evidence of regional peace and security strategies designed and implemented in line with the AU policy framework • Evidence of common programming, including formulation of common objectives, between AUC departments and between AU and RECs/RMs • Evidence of common positions on APSA framework between AU and RECs/RMs • Evidence, documentation and joint analysis of the implementation of the subsidiarity principle in several operations in the field • Evidence of lessons learned from the implementation of the subsidiarity principle (results and challenges) that are feeding new programming • Evidence of implementation and monitoring of decisions the AUC has committed to • Evidence of efficient use and possible mutualisation of human resources between the AUC and RECs/RMs • Evidence of timely deployment of the Panel of the Wise from the AUC

Results Framework Strategic Priority 1: Conflict Prevention (including Early Warning and Preventive Diplomacy)

1

Strategic priority objective	Strategic Objective Indicators	Sources of verification	Assumptions
To contribute to effective, coordinated and timely direct and structural prevention of conflicts and crises by the AU and the RECs/RMs	• Evidence of enhanced capacity of CEWS and EWS of the RECs/RMs to individually and collaboratively monitor, collect and analyse data on the basis of tools and methodologies developed. • Conflict prevention interventions (direct and structural) are informed by systematic/joint early warning and analysis. • Direct conflict prevention interventions by AU/RECs/RMs (preventive diplomacy) are timely, coordinated and effective. • Evidence of structural prevention responses/interventions. • Evidence of APSA stakeholders cooperation in preventive actions. • Evidence of use of early warning reports by decision makers	• Minutes of CEWS/REC EWS meetings • CEWS/REC EWS planning documents (Log Frame, etc.) • Programme evaluations and assessments • Feedback from analysts and decision-makers • Samples of reports	• Full implementation of CEWS and the EWS at the RECs is achieved • AU and the RECs strengthen vertical and horizontal cooperation with regards to early warning
Problem definition 1 Although well advanced with regards to the implementation of event data collection tools and data management and sharing tools, as well as the required ICT infrastructure and methodologies, full implementation of the AU CEWS and the EWS of the RECs/RMs data collection and monitoring tools has not yet been fully achieved. With regards to analysis, AU CEWS and the EWS of the RECs/RMs need to strengthen the quality, frequency and timeliness of early warning reports, situation updates, flash reports, weekly updates and other types of reports, including the strengthening of scenario-building and policy/response options contained therein. This is due to: • Rapid changing nature of conflicts and their dynamics require a constant re-assessment of the adequacy of existing data collection tools; • Insufficient human resources; • Methodology Handbooks and SOPs not always followed; • Analysts not always relying on data generated by existing tools; • Limited frequency of early warning reports; • Inadequate feed-back from decision-makers on early warning reports; • Absence of structured interaction between CEWS/EWS-RECs and relevant staff from other departments (in the case of the AU CEWS these are Peace and Security Department staff such as desk officers/Panel of the Wise Secretariat and also Department of Political Affairs).			

 Specific objective 1 Enhanced capacity of the AU CEWS and the EWS of the RECs/RMs to systematically monitor, collect and analyse relevant information in order to provide timely early warning reports, updates and other types of reports.	Specific objective 1 Indicators - Existing data collection, analysis and methodology tools developed, tested, fully implemented and customised - Evidence of improved quality of data gathered (widened variety, timeliness, relevance, verifiable) - Evidence of trend tracking tools fully implemented (where applicable: Africa Reporter, CAAS, Democracy Trends Reports) - Increased consistency in the production of early warning reports by CEWS and EWS of the RECs/RMs - Increased frequency of production of early warning alerts by CEWS/EWS-RECs - Evidence of data tools usage in the reports - Reports following adopted methodologies - Evidence of interaction with PSD/DPA/RECs staff in terms of peer reviews, joint writing of reports including situational and analysis reports - Evidence of AU CEWS and EWS of the RECs/RMs use of AU DPA Election Risk Management Tools or similar tools at REC level - Evidence of the RECs/RMs use of Election observation and Political Analysis Reports - Percentage of African borders demarcated - Number of African States having established National Border Commissions to manage their borders	Sources of verification - Minutes of CEWS/REC EWS meetings - CEWS/REC EWS planning documents (Log Frame, etc) - Programme evaluations and assessments - Feedback from analysts and decision-makers - Internal CEWS/REC EWS activity reports - Samples of reports - Chairperson's report to the PSC on the state of peace and security in Africa - EWS of the RECs/RMs reports to their respective chief executives/assemblies - DPA Political Analysis Reports - Situation Room reports (CEWS and EWS)	Assumptions - Implementation of data collection tools proceeds as planned (where appropriate); - A system of feedback from decision makers is implemented - Staff complement (analysts) is strengthened - Coordination of each early warning unit oversees quality control of reporting, usage of tools and existing methodologies - CEWS and EWS: Cooperation and trust is built among the implementing entities at Member States level to support data collection systems.
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Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 1.1 AU CEWS and EWS of the RECs/RMs data collection and monitoring and analysis system is fully in place	- Improved quality of data gathered (issues of widened variety, relevance, verification addressed) - Trend tracking tools (Africa Reporter; CAAS) fully implemented and being used by analysts - Timely, relevant and up-to-date information monitoring, gathering and dissemination - Feedback from the survey of early warning analysts/desk officers and decision-makers provides useful inputs for further improvement - AT IGAD/CEWARN, Conflict Monitoring, Mapping and Reporting is implemented - At ECCAS, evidence of effective functioning of the national offices of MARAC in all Member States - At ECCAS, evidence of a fully functioning situation room	- Customisation of existing data collection and analysis tools - Finalisation of Africa Prospects - Development of Conflict Alerting and Analysis Tools (CAAS) - Support MIS (bandwidth payments) - Securing access (purchase VPN client and server software; domain name registration; purchase certificates) - Survey of analysts, desk officers and decision makers - Expand the coverage of conflict typologies and geographical areas (IGAD/CEWARN and SADC) - EAC to further develop, integrate and customise EACWARN tools for data collection - At ECCAS, training of staff and national correspondents - At ECCAS development of early warning related software and specialised tools - At ECCAS, setting up of MARAC national offices in all Member States - Training of AUC and RECs/RMs staff (on tools; on conflict analysis; on statistical analysis) - At COMESA – regular review, update and rationalise structural data to ensure it is relevant - Update COMWARN to incorporate systematic analysis of dynamic data - Enhance skills of COMWARN staff through training courses and exchange visits	- Data from CEWS event data tools - Africa Prospects results - Technical requirements purchased and operational - Training conducted - CEWS and EWS: Activity/Progress Reports, situation and incident reports	- Implementation of data collection tools proceeds as planned (where appropriate) - A system of feedback from decision makers is implemented - Staff complement (analysts) is strengthened - Coordination of each early warning unit oversees quality control of reporting, usage of tools and existing methodologies

Output 1.2 Enhanced quality and quantity of Early Warning Reports by AU CEWS and EWS of the RECs/RMs	● Number of reports increased ● Evidence of gaps/under-utilisation of data tools in the writing of early warning reports addressed ● Evidence of full utilisation of the Methodologies/SOPs observed ● Participation/interaction with other relevant staff in the development of reports observed (in the AU CEWS this relates to PSD/DPA) ● Feedback on the quality of reports obtained from decision-makers/others as appropriate ● AU CEWS and EWS of the RECs/RMs integrate into their early warning reporting the AU DPA Election Risk Management Tool	● Recruitment of the requisite number of staff as provided for in the CEWS Roadmap ● Training of early warning officers and desk officers on using CEWS/RECs tools ● Deepen system of peer review of early warning reports ● At COMESA, continuous improvement of COMWARN SVAs (and incorporating dynamic data) ● Promote joint analysis and writing of early warning reports (as appropriate and across the AUC/RECs) ● Survey of decision makers ● Operationalisation of the Election Risk Management Tool ● Election observation and political analysis reports by DPA ● ECCAS: Election observation and political analysis reports by relevant structures within the RECs ● CEWARN: Production of regular EW reports ● At CEWARN: operationalize the situation rooms with all the relevant early warning staff	● Internal CEWS activity reports ● Samples of reports ● Programme evaluations and assessments (CEWS) ● Chairperson's report to the PSC on the state of peace and security in Africa ● Survey of decision makers ● Reports of briefings to PSC on elections and the political situation on the Continent; ● DPAs briefings to the PSC on elections and the political situation on the continent ● CEWS and EWS: situation and incident reports	● Implementation of data collection tools proceeds as planned (where appropriate) ● A system of feedback from decision makers is implemented ● Staff complement (analysts) is strengthened ● Coordination of each early warning unit oversees quality control of reporting, usage of tools and existing methodologies
Problem definition 2	Although relations between CEWS and the Early Warning Systems of the RECs/RMs have been marked by increased collaboration (Technical Meetings, joint briefings, technical support missions, experience sharing, etc.), there is still quite some way to go in terms of systematic collaboration on data collection, early warning analyses and other activities: ● The regular connection between the Situation Room in Addis Ababa (CEWS) and the Early Warning Systems at the RECs (Article 12 of the PSC Protocol) remains "very low" due to technological and methodological challenges (lack of system of data and information sharing; need to continue to co-develop data collection tools; actual sharing of information); ● Levels of operationalisation of early warning systems are at varying stages of development "hampering harmonisation efforts"; ● Challenges of comparable/compatible methodologies; ● Challenges of information and analysis sharing; ● Timely coordination of activities.			

Specific objective 2		Specific objective 2 Indicators	Sources of verification	Assumptions
Substantive (deepened) and systematic interaction between CEWS and the EWS of the RECs/RMs, between the EWS of the RECs/RMs, and between CEWS and the EWS of the RECs/RMs and their national early warning systems.		• The CEWS and the EWS of the RECs are regularly connected • The EWS of the RECs are regularly connected • Evidence of institutionalised early warning systems' systematic sharing of data (increase in information sharing) • Evidence of strengthened collaboration • Attendance and participation by CEWS and EWS of the RECs at the Technical Meetings • Evidence of information sharing between CEWS and EWS as well as between RECs • Evidence of analysis sharing and co-development of scenario-building and policy response options formulation • The RECs and their national early warning units are regularly connected and systematically share data	• Internal CEWS activity reports • Quarterly Technical Meeting Minutes • Programme evaluations and assessments (CEWS and RECs) • "increase in the amount of relevant information shared and communication between the RECs and CEWS"	• Will from AU, RECs and RMs to putting into practice vertical and horizontal linkages between early warning systems • Member States are ready to develop national early warning capabilities • Mobilisation of adequate resources takes place • Technical quarterly meetings continue to take place in order to improve harmonisation and collaboration
Outputs		Outputs Indicators	Strategies/Activities	Sources of verification
Output 2.1 CEWS and Early Warning Systems of the RECs connected for data sharing	• CEWS and Early Warning Systems of the RECs connected (technology) • CEWS and Early Warning Systems of the RECs systematically sharing data • CEWS hosting of application tools • CEWS support to acquisition of equipment • RECs and their national early warning units (where applicable) are regularly connected and sharing data	• Ensure connectivity to RECs and Liaison Offices through AU VSAT or other alternative means • Purchase necessary equipment • Support MIS (bandwidth payments) • Securing access (purchase VPN client and server software; domain name registration; purchase certificates) • Hosting of application tools (installation of applications, ensuring access to applications) • Secure communication system between EACWARN and the CEWS	• CEWS/REC Programme evaluations and assessments • Quarterly Technical Meeting Minutes • Data and information gathered by CEWS/RECs	• Will from AU, RECs and RMs to putting into practice the vertical and horizontal linkages between their early warning systems • ICT resources are available for the task • Mobilisation of adequate resources takes place • EWS at the RECs have the necessary human and financial resources to fully implement their EWS
Output 2.2 Early Warning Systems of the RECs at different stages of development are supported in their efforts at full implementation	• REC EWS fully operational (particularly those in earlier development stages) • REC EWS generating data and analysis • REC EWS data gathering methodology	• CEWS to continue to provide support to RECs (joint trainings on methodology, sharing and customisation of CEWS tools) • Establish and or strengthen RECs and their national situation rooms	• Quarterly Technical Meeting Minutes • REC programme documents • CEWS/REC Programme evaluations and assessments	• Same as above

Output 2.3 Channels and tools for CEWS and EWS from the RECs/RMs to coordinate and collaborate on analysis, including scenario-building and policy/response options' formulation are in place	• CEWS and EWS at the RECs have compatible/complementary methodologies • Joint briefings (CEWS and EWS of the RECs) • Joint early warning reports (CEWS and EWS of the RECs)	• CEWS to continue to provide support to RECs (joint trainings on methodology, sharing and customisation of CEWS tools) • CEWS to expand the practice of joint weekly briefings to all the EWS at the RECs (example of the weekly briefings with ECOWAS/ECOWARN) • CEWS to host further "CEWS Carana Simulation Exercises" with the EWS of the RECs • Joint RECs and their national early warning units scenario building	• Internal CEWS activity reports • Quarterly Technical Meeting Minutes • Programme evaluations and assessments (CEWS and RECs) • "increase in the amount of relevant information shared and communication between the RECs and CEWS"	• Same as above
Problem definition 3	Problem definition 3 Limited interaction/"modest engagement" between CEWS and the EWS of the RECs/RMs and their respective decision-makers (in the case of CEWS particularly the PSC, the office of the Chairperson and other structures and organs of the AU (Panel of the Wise, DPA, etc). This is in part due to: • Limited opportunities for direct interaction between CEWS/RECs and their respective decision-makers (e.g. the PSC, although some steps taken with the scheduling of CEWS briefings to the PSC); • Information flow at AUC and also at RECs levels • Limited understanding by AU structures and organs of what CEWS does and what outputs/products it produces; • Lack of monitoring and feedback mechanisms allowing CEWS to measure quality of interaction, quality of outputs, needs of decision makers, etc.			
Specific objective 3 Enhanced engagement between CEWS, the EWS of the RECs/RMs and national early warning centres with their respective decision-makers.	Specific objective 3 Indicators • Evidence of interaction between CEWS and the PSC • Evidence of interaction between EWS and relevant statutory bodies • Evidence of early warning reports being pushed up the decision-making structure (either in their 'pure' form or used in other reports such as the Chairperson's Report to the PSC) • Evidence of deeper inter-departmental collaboration in briefing relevant decision makers at AU (PSD, DPA, others) • At REC level evidence of increased production and dissemination of reports to decision-makers • Evidence of decision makers at different levels using and taking into account the analysis and recommendations contained in the EWRs and briefings • Feedback on the quality of reports obtained from decision-makers/others as appropriate	Sources of verification • PSC Secretariat (PSC Agenda) • PSC communiqués • Internal CEWS activity reports • Programme evaluations and assessments (CEWS) • Chairperson's report to the PSC on the state of peace and security in Africa • Survey to decision-makers • CEWS and CPS meeting reports	Assumptions • Workflows and outputs are improved and aligned in a more systematic way with decision-makers needs • Decision-makers are fully briefed on the outputs and methodology of the respective EWS • Decision maker at continental, regional and national levels regularly use the outputs from EWS and act on their information and recommendations • There will be interest and effective cooperation from Member States in establishing national early warning capabilities	

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 3.1 The CEWS and EWS of the RECs regularly brief relevant decision makers	- Evidence of meetings and briefings conducted by EWS to decision makers (at AU, including the PSC, the Chairperson as well as the Panel of the Wise among others) - Decision makers take into account the analysis and recommendations contained in the EWRs and briefings; - Feedback on the quality of briefings obtained from decision-makers/other as appropriate - Evidence of dissemination of reports to Member States, including consultative meetings at member state level (for example COMESA's SVAs) - Evidence of joint assessment of structural vulnerability reports initiated by Member States - Member states collaborate with CEWS/EWS-REC to convene internal dialogues around SVA reports - Requests from Decision Makers/Member States to CEWS/EWS-RECs to discuss Reports and response option recommendations - At ECCAS, MARAC's participation to the Council of peace and security in Central Africa (COPAX) statutory meetings	"Identify ways and mechanisms to effectively engage decision-makers" - CEWS to participate at PSC meetings when appropriate and to brief PSC members informally, during 'break-fast briefings') - CEWS to brief Chairperson and Commissioner for Peace and Security - CEWS and EWS of the RECs to develop/improve the template for its oral briefings; - CEWS and EWS of the RECs to develop training/information sessions on their methods, activities and tools to key decision-makers; - At IGAD/CEWARN, evidence of strengthening of decision support products to decision makers; - Survey to decision-makers - COMWARN make regular reports to the Committee on Peace and Security - COMESA/COMWARN hold joint reviews of SVAs with respective a wide range of sectors of respective Member States, - COMWARN convene regional meeting for skills building and peer-review of SVAs - At ECCAS, MARAC briefs regularly on the political and security situation in the region	- PSC Secretariat (PSC Agenda) - PSC communiqués; - Internal CEWS activity reports - Programme evaluations and assessments (CEWS) - Chairperson's report to the PSC on the state of peace and security in Africa - COMESA/COMWARN reports; - IGAD/CEWARN reports; - Results of the survey to decision-makers - Official communications from Member states - Minutes of COPAX meetings	- Workflows and outputs are improved and aligned in a more systematic way with decision-makers needs - Decision-makers are fully briefed on the outputs and methodology of the respective EWS - Enhanced will from decision makers to use reports in decision making processes
Output 3.2 At AU, relevant departments (PSD, DPA) jointly brief the PSC on democracy, peace and security on the continent	Evidence of joint briefings by relevant departments (PSD, DPA, others) to the PSC	To be completed	To be completed	
Output 3.3 The CEWS and the EWS of the RECs/RMs support the development of national early warning capabilities (and where appropriate the regular exchange of information and analysis with Member States institutions and existing national infrastructures for peace)	- Evidence of strengthening and development of national early warning centres - Evidence of sharing of information and analysis between CEWS and EWS of the RECs/RMs and national early warning centres - RECs support national units engagement with policy makers at the national levels	- CEWS and EWS of the RECs to provide support to Member States in the development of national early warning centres (joint trainings on methodology, sharing and customisation of tools) - CEWS to host "CEWS Carana Simulation Exercises" with the EWS of Member States - Support to Member States in the operationalisation of Election Situation Rooms	to be completed	There will be interest and effective cooperation from Member States in establishing national early warning capabilities.

Problem definition 4 Although “engagement with CSOs has been initiated through a workshop at the AU and the elaboration of modalities for collaboration” and “collaboration with the UN (cluster on conflict prevention), EU (joint research centre) and the World Bank has also been established”, at present, there is limited substantive interaction between CEWS and stakeholders such as CSOs, international organisations and bilateral countries. Part of the reasons for this are: ● Lack of detailed understanding of what exactly CEWS does (particularly its data collection tools, methodology and approach; a closed system that uses open-source information); ● Lack of appropriate ‘points of entry/contact’ for external stakeholders to interact with CEWS (data gathering; analysis and formulation of options) ● Lack of political will/perception				
Specific objective 4 Enhanced collaboration between CEWS and the EWS of the RECs/RMs with relevant external stakeholders with regards to information and analysis sharing as well as development of policy and response options.				
Specific objective 4 Indicators ● CEWS-CSOs and other stakeholders Modalities for Collaboration approved and implemented; ● CSOs/International Organisations/Academia and Think Tanks, and parliaments are ‘plugged into the system’ (information sharing) and contribute with data collection, monitoring and analysis. ● CEWS and RECs hold briefing sessions with CSOs/International Organisations/Academia and Think Tanks		Sources of verification ● CEWS-CSOs Modalities for Collaboration ● Internal CEWS activity reports ● Programme evaluations and assessments (CEWS and RECs) Assumptions ● CEWS and EWS systems of the RECs actively implement systems and procedures for regular interaction with external stakeholders ● External stakeholders are fully briefed on the outputs and methodology of the respective EWS ● There will be interest and effective cooperation from external stakeholders		
Outputs Output 4.1 Channels and tools for CSOs, International Organisations, Academia and Think Tanks to contribute to the CEWS data gathering and analysis function are in place.		Strategies/Activities ● Specifically for AU/CSOs: Decide one of the following options: (i) strengthen CIDO as a civil society focal point within the AUC; (ii) CSO accreditation via ECOSOC; (iii) a CEWS-specific accreditation procedure; ● Connect CSOs/International Organisations/Academia and Think Tanks to CEWS through the CEWS Portal; ● Develop points of entry for these stakeholders as regards context and structural information, actor and group information and behaviour and event information (situation reports and incident reports) ● IGAD: establish and strengthen networks with local, national, regional and continental CSOs involved in or with potential for involvement in early warning and early response ● ECCAS: establish and strengthen networks with local, national, regional and continental CSOs involved in or with potential for involvement in early warning and early response		
Output Indicators ● CEWS Portal contains an entry point for CSOs, International Organisations, Academia and Think Tanks ● CEWS incorporates event data from CSOs, International Organisations, Academia and Think Tanks ● Joint briefings/meetings ● Evidence of IGAD’s strengthening of networks with local, national, regional and continental CSOs ● Evidence of ECCAS’ strengthening of networks with local, national, regional and continental CSOs		Sources of verification ● CEWS Portal ● Reports by CSOs, International Organisations, Academia and Think Tanks ● Internal CEWS activity reports ● Programme evaluations and assessments (CEWS and RECs) Assumptions ● CEWS and EWS systems of the RECs actively implement systems and procedures for regular interaction with external stakeholders ● External stakeholders are fully briefed on the outputs and methodology of the respective EWS ; ● There will be interest and effective cooperation from external stakeholders		

Output 4.2 Capacity for CSOs, Academic organisations, academic and think tanks to support EW is enhanced	● Evidence of CSOs advocating for implementing recommendations from SVAs ● Evidence of think-tank contribution to COMWARN SVAs	● COMESA build capacity of accredited CSOs to support COMESA SVAs ● COMESA establish regional think-tank on SVAs	● CEWS and EWS systems of the RECs actively implement systems and procedures for regular interaction with external stakeholders ● External stakeholders are fully briefed on the outputs and methodology of the respective EWS ● There will be interest and effective cooperation from external stakeholders
Problem definition 5 While both the AU and the RECs/RMs acknowledges that conflict prevention must include both a direct/operational focus of intervening before large-scale violence occurs, as well as focus on the structural (root) causes of conflict, structural conflict prevention remains at an incipient stage. At Continental level, although structural conflict prevention is contained in numerous key policy documents (on human rights, governance, democratisation, the fight against corruption, disarmament, socio-economic development, management of natural resources among many others), it was not until recently that a specific framework on structural conflict prevention has been adopted. In order to strengthen its direct prevention actions with activities to assist Member States in addressing/identifying structural vulnerability of countries to conflict at an early stage, the Commission has elaborated a Continental Structural Conflict Prevention Framework and launched an Inter-departmental taskforce on conflict prevention. At the same time, the AUC has developed an African Governance Architecture (AGA) which addresses many of the dimensions of structural vulnerability, including good governance, the rule of law, democracy and human rights, popular participation, management of public funds, service delivery among others. Implementation of the CSCPF is still at an incipient stage, a result of lack of resources (staff and financial), the need to mainstream conflict prevention (in its various dimensions) in the work of the AUC, among others. At the same time, linkages between APSA and AGA as well as the AU and the RECs in the domain of structural conflict prevention remain tenuous, partly a result of lack of communication and collaboration between different departments at AUC, and between the AU and the RECs.			
Specific Objective 5 Enhanced capacity for Structural Conflict Prevention by the AU and the RECs.	Specific Objective 5 Indicators ● At Continental level, the CSCPF is finalised (reviewed by PSD and other stakeholders) and shared ● CSVAs are conducted jointly with relevant RECs ● Results of the CSVA are communicated to the IDTFCP and to decision-makers ● IDTFCP meets regularly ● Decision-makers take into account the analysis and results of the CSVA ● The AUC gradually develops an early/early prevention posture ● Increased harmonization between APSA and AGA ● Deepened link between the AU and the RECs on structural conflict prevention ● Evidence of coordination with RECs/RMs on border management and cross border cooperation ● Evidence of implementation of the (to be) adopted Enhanced Border Management Strategy	Sources of verification ● Continental Structural Conflict Prevention Framework (AU) ● RECs/RMs Conflict prevention framework works ● Samples of CSVA reports ● Programme evaluations and assessments (CEWS) ● AGA operationalization reports; ● Other DPA reports	Assumptions ● At the level of the AU, Member States volunteer for structural vulnerability assessments; ● AU and Member States commit to implementing the CSCPF, including the country mitigation strategy dimension; ● At the AU, all relevant departments recognise the importance of the Inter-Departmental Task Force on Conflict Prevention and actively participate in its activities and meetings ● Close collaboration between APSA and AGA

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 5.1 The AU and the RECs have the capacity for systematic structural vulnerability assessment/analysis.	- At AU, CSVA and CSVMS are conducted according to the agreed ToR. - Evidence of utilisation of the methodology, manuals and SOPs observed; - Consideration/tabling of the CSVA/CSVMS at the Inter-departmental taskforce on conflict prevention - Evidence of collaboration with DPA (within the AGA framework) - Feedback on the quality of reports obtained from decision-makers/others as appropriate	- Methodology, manuals and SOPs for Country Structural Vulnerability Assessment are finalised; - Agreement is formalised with initial (volunteer) Member States to be the subject of the CSVA/CSVMS; - Training of analysts and other researchers on CSVA/CSVMS; - Production of the CSVA/CSVMS following the template; - Dissemination of the results. - Development of closer linkages between APSA and AGA	- Continental Structural Conflict Prevention Framework - Samples of CSVA/CSVMS reports - Internal CEWS activity reports - Programme evaluations and assessments (CEWS) - AGA reports	Same as above
Output 5.2 At AU, the Inter-departmental Taskforce on Conflict Prevention convenes regularly and guides the organisation in its efforts at mainstreaming of conflict prevention across AUC through policy recommendations, direct support to programmes and departments.	- Inter-departmental taskforce on conflict prevention meets regularly; - Inter-departmental taskforce on conflict prevention meetings are attended by all AUC stakeholders involved (and not simply PSD staff); - Inter-departmental taskforce on conflict prevention meetings substantively address the mandate of the taskforce;	- Regular meetings of the Taskforce; - Training across AUC on the Continental Structural Conflict Prevention Policy Framework and related instruments - Taskforce to consider inter-departmental briefings to decision-makers on situations under consideration	- Minutes of meetings - Internal CEWS activity reports - Programme evaluations and assessments (CEWS)	Same as above

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 5.3 Strengthened institutional linkages and synergy between APSA and AGA to support and complement efforts by Members State to achieve their commitments on human rights and the rule of law, popular participation, management of public funds (accountability, corruption), transparency, legal and judicial frameworks, elections and public participation and human rights.	● Enhanced and deepened conduct of free and fair elections ● Strategy to address unconstitutional changes of government is in place. ● Enhanced understanding on constitutional issues in Africa; ● Enhanced popularisation of AU norms and legal principles	● AGA Secretariat regularly provides situational analysis to members of the PSC (and other APSA pillars) on issues ranging from elections, human rights, constitutionalism and rule of law, and humanitarian situations; ● AGA technical and political meetings are attended by Peace and Security Council Members ● AGA participates in the Inter-departmental Taskforce on Conflict Prevention ● Joint missions between DPA and PSD (for example PCRD related) ● Annual High Level Dialogue on Democracy, Human Rights and Governance ● Study on the State of Constitutionalism in Africa ● Development of a strategy to address unconstitutional changes of government ● Popularisation of AU normative frameworks on democracy, elections, governance and human rights ● Capacity building of African institutions to strengthen rule of law in Africa ● Post elections joint assessments and dialogues on implementation of elections observers recommendations ● Development of an inventory of standards and best practices in elections	● DPA Reports ● AGA technical and political meetings' reports ● Reports of the Interdepartmental Taskforce on Conflict Prevention ● Concluding observations and recommendations on the status of implementation of the African Charter on Democracy, Elections and governance ● Outcome statement for the high Level Dialogue on Democracy	● At the AU, relevant departments are cognisant of the need to develop synergies and activities to facilitate AGA-APSA synergies



Output 5.4 Enhanced capacities in delimitation and demarcation of borders as a conflict prevention measure	● Evidence of member state sensitisation and engagement with the issue of border delimitation and demarcation ● Updated data collected on current borders (AUBIS – Border Information System up to date) ● Staff recruited and trained ● Ratification and entry into force of the AU convention on Cross Border Cooperation also called Niamey Convention	● Technical and financial support as well as provision of necessary equipment to Member States for the delimitation and demarcation exercises ● Sensitisation of member states on the benefits of delimitation and demarcation of borders as a conflict prevention measure ● Encourage joint integrated management of border areas ● Training of border management agencies on enhanced border management ● Sensitisation missions to Member States for the entry into force of the cross border cooperation (Niamey Convention) ● Sustain annual coordination meetings between AUBP and RECs on Border Management ● Data collection on the status of current borders in Africa (through field missions and updated reports to be sent by MS) ● Avail colonial border archives to support delimitation process by Member States through the establishment of a border archives bureau with the AUBP and at the RECs level ● Offer platform to facilitate discussions between Member States to find solutions to common border issues ● Recruitment of 2 experts on delimitation and demarcation and recruitment of 3 experts on cross border cooperation, capacity development and project management ● Procurement of the software for the AU Border Information System ● ECCAS: Development of the software for the RECs' Border Information System	● AU M&E reports ● Inter-state border conventions or protocols ● Trans-border cooperation infrastructures (roads, hospitals, schools, markets, water fountains, etc.) ● Member States can consult the archive at the AU and RECs bureau of archives	● Political commitment of Member States ● Availability of financial and human resources
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Problem definition 6

Although conflict prevention has been repeatedly considered a key priority of the AU and the RECs, many respondents talk about a prevailing ‘culture of fire fighting’, with the organisations tending to act when situations have already turned violent. Partly, this appears to be related to overall capacity, resources as well as the need not to lose focus on on-going high intensity conflicts/AU peace support operations, but also this can be attributed to:

- Lack of capacity for preventive diplomacy (human resources, skills, financial)
- Ad-hoc nature of decision-making, planning and deployment of preventive diplomacy missions

Specific Objective 6

Enhanced capacity by the AU and the RECs to effectively deploy and conduct preventive diplomacy (direct prevention).

Specific Objective 6 Indicators

- Evidence of frequency, relevance and efficacy of preventive diplomacy missions undertaken by the AU and the RECs (good offices, fact finding, conciliation, pre-election missions);
- At the AU, evidence of closer coordination between PSC, Chairperson, Special Envoys and Members of Panel of the Wise (both informal as well as formal through participation in PSC meetings, etc)
- Members of the Panel of the Wise/Friends of the Panel/PanWise are regularly tasked with preventive diplomacy missions;
- REC Policy Organs task their respective Councils of Elders or similar structures to undertake preventive diplomacy actions
- Evidence of preventive diplomacy missions undertaken by Councils of Elders and similar structures
- Confidential reports of Councils of Elders or similar structures presented to decision makers
- PSC and AUC Chairperson as well as Executive Secretary's at RECs regularly conduct preventive diplomacy missions/other undertakings
- Knowledge Management Framework implemented as part of a M&E system
- Evidence of joint missions with RECs under the PanWise umbrella
- Evidence of strengthened capacity for direct prevention at national level (national infrastructures for peace)

Sources of verification

- PSC Communiqués and Press Releases
- Chairperson's Communiqués and Press Releases
- Panel of the Wise Secretariat reports;
- Chairperson's report to the PSC on the state of peace and security in Africa
- Knowledge Management Framework
- Media reports
- Joint political missions reports
- Election Observation Mission Reports (election disputes and crisis prevention meetings)
- REC activity reports
- Programme evaluations and assessments

Assumptions

- Will and commitment from relevant stakeholders to regard preventive diplomacy as a key tool for the maintenance of peace and security
- Commitment by relevant stakeholders to streamline a preventive action approach to CPMR;
- Commitment by all relevant stakeholders to putting into practice what they committed to;
- Availability of resources and capabilities

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 6.1 AU and RECs/ ARMs actors involved in pre- ventive diplo- macy missions are equipped with relevant capacities for timely and effec- tive preventive actions	● AU Panel of the Wise Secretariat fully staffed; ● Agreement on the location and staffing of an AU Mediation Support Unit (MSU) (*to be discussed in the next specific objective) ● Targeted/tailored training to all relevant stakeholders conducted ● Panel of the Wise/Friends of the Panel/PanWise members deployed frequently ● PSC members and Chairperson deployed frequently ● PSD Roster is used for the selection of "preventive diplomats" and their teams ● Joint missions undertaken (including different sectors within the AUC) ● 2012 SOPs for Mediation Support are being used in preventive missions (*including pre-deployment start-up phase, operational plans, etc) ● The Knowledge Management Framework for Mediation Processes is being used in preventive diplomacy missions ● CEWS and PSD Desk Officers engaged (*see below) ● Fund raising/financial sustainability strategy agreed. ● Evidence of enhanced capacity of the ECOWAS Council of the Wise on techniques of managing and mitigating crises	● Finalise the recruitment of staff for the Panel of the Wise Secretariat ● Finalise the consultations on a Mediation Support Unit ● Finalise the operationalisation of PanWise (code of conduct and accreditation procedure) ● Create an Operational Support Team (*discussed below under mediation) ● Conduct needs assessment survey with Special Envoys, Representatives, Panel of the Wise/Friends of the Panel/PanWise members and also PSC and Chairperson's Office ● Targeted/tailored training to Panel of the Wise/Friends of the Panel/PanWise members on the basis of needs assessment survey; and also PSC members and staff at Chairperson's office ● Closer interaction with CEWS and PSD Desk Officers ● Operational support to preventive actions; ● Substantive participation of Panel of the Wise Secretariat, as well as representatives of the PSC and the office of the Chairperson in the activities of the Inter-departmental Taskforce on Conflict Prevention ● Finalisation of the PSD Roster (preventive diplomacy and mediation sections; envoys and technical experts) ● Substantive participation of Panel of the Wise Secretariat, as well as representatives of the PSC and the office of the Chairperson in activities related to the Continental Structural Conflict Prevention Framework ● At RECs level: ● Support to preventive diplomacy missions and capacity enhancement of the Council of the Wise or of similar structures ● Develop a strategy for fund raising and sustainability ● Establish, where applicable, missing preventive diplomacy structures	● PSC Communiqués and Press Releases ● Chairperson's Communiqués and Press Releases ● Panel of the Wise Secretariat reports; ● Chairperson's report to the PSC on the state of peace and security in Africa ● Knowledge Management Framework ● Media reports ● REC activity reports ● Programme evaluations and assessments	● Availability of resources and capabilities ● Availability of timely and relevant early warning information and analysis ● Will and commitment from relevant stakeholders to regard preventive diplomacy as a key tool for the maintenance of peace and security ● Commitment by relevant stakeholders to streamline a preventive action approach to CPVIR



Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 6.2 Clearly defined system and process for decision-making, planning, deployment and conduct of preventive diplomacy missions in a coordinated manner is in place.	● Evidence of coordination between AU actors and between AU and RECs/RMs involved in preventive diplomacy ● Existence of a preventive diplomacy and mediation strategy document ● Chairperson, Special Envoys, and members of the Panel of the Wise meet more regularly ● Preventive diplomacy interventions are conducted on the basis of shared analysis ● Increased frequency of joint missions (PanWise, AU/RECs) ● Evidence of coordination between AU, RECs and other actors involved in preventive diplomacy ● Support to “preventive diplomats” during interventions on the ground ● Evidence of enhanced national capacities for preventive diplomacy	● Development of an integrated preventive diplomacy and mediation strategy (* see also specific objective on mediation below) ● Outreach and information actions on the preventive roles of different AU institutions and bodies; ● Panel of the Wise Secretariat/Mediation Support Unit staffed and equipped for enhanced coordination of management/admin/logistical support components of preventive diplomacy; ● Adapt/adopt 2012 SOPs for Mediation Support specifically to preventive missions (*including decision on appointments, pre-deployment start-up phase, operational plans, etc) ● Panel of the Wise Secretariat/Mediation Support Unit to develop a plan to strengthen systematic linkages between the PSC, Chairperson, Panel of the Wise/Friends of the Panel, and AU Special Envoys ● Implement a practice of timely, relevant and shared analysis (see above, CEWS) ● Strengthen the linkages with RECs/RMs with regards to preventive diplomacy interventions; ● Technical support to the RECs for strengthening their preventive diplomacy capacities ● Expand the one-day meeting of Panel of the Wise members with Special Envoys (Annual High Level Retreat); ● Undertaking regular reviews and evaluation of conflict prevention activities	● PSC Communiqués and Press Releases ● Chairperson’s Communiqués and Press Releases ● Panel of the Wise Secretariat reports; ● Chairperson’s report to the PSC on the state of peace and security in Africa ● Knowledge Management Framework ● Media reports ● REC activity reports ● Programme evaluations and assessments	● Will and commitment from relevant stakeholders to regard preventive diplomacy as a key tool for the maintenance of peace and security ● Commitment by relevant stakeholders to streamline a preventive action approach to CPMR; ● Commitment by all relevant stakeholders ● Commitment by all relevant stakeholders to putting into practice what they committed to; ● Availability of resources and capabilities



2 Results Framework Strategic Priority 2: Crisis/Conflict Management African Standby-Force

Strategic Priority Objective To contribute to enhanced operational readiness of the ASF, and more effective African PSOs	Strategic Objective Indicators • Evidence of cooperation between AU, RECs/RMs and Member States in the development and retention of PSO capabilities • Evidence of cooperation between AU, RECs/RMs and Member States in the planning and deployment of operations • Evidence of systems and procedures which enable the deployment of PSOs • Evidence of timely deployment of operations within the context of relevant frameworks • Evidence of effective planning and management of operations	Sources of verification • Decisions by relevant decision-making organs • Availability of comprehensive mission planning and management documentation • Documented capabilities available for deployment • Ability to rapidly and efficiently plan and deploy operations • Enhanced capacity and capabilities for the management and sustenance of operations	Assumptions • Will and commitment from all stakeholders involved in the ASF in putting into practice what they committed to • Relevance and suitability of the ASF concept to African PSO requirements and deployment needs • Availability of resources and capabilities
Problem definition 1 The political and legal decision-making processes have not been sufficiently developed and structured to enable rapid deployment of peace support operations and cooperation among AU, RECs/RMs and Member States in this regard.			

Specific Objectives 1 Political/legal decision-making mechanisms are clarified, harmonised and structured between specifically the AU and the RECs/RMs so as to enable more effective cooperation in mandating, deployment and management of operations	Specific Objectives 1 Indicators ● Existence and utilisation of harmonised and streamlined policies, guidance and procedures (between the AU and the RECs/RMs) informing PSO mandating and decision making for the planning, deployment and management of PSOs ● Evidence of planned and structured consultations amongst AUC Departments and Divisions on the planning, mandating/decision making and deployment of PSOs ● Evidence of joint AU and RECs/RMs planning, programming and assessment in relation to the development and enhancement of the ASF ● Evidence of joint AU and RECs/RMs analysis and planning for operations ● Evidence of AU and RECs/RMs coordination/collaboration in the preparation of deployments ● Evidence of timely deployment of operations ● Increased rapidity in the deployment of PSOs	Sources of Verification ● Development and utilisation of policies, guidance and SOPs on planning and decision making processes and corporation and coordination approaches, systems and mechanisms among AU, RECs/RMs and Member States ● Reports and/or minutes from AU, REC/RM meetings ● Minutes from AU-RECs/RMs and Member States meetings ● Strategy document ● Monitoring document, monitoring data, data analysis ● Management decision ● Minutes from monitoring meetings	Assumptions ● Sufficient political will and commitment at the various decision making levels of the AU, RECs/RMs and Member States to ensure effective cooperation for more rapid and efficient interventions ● Definition of cooperation mechanisms in line with the concept of shared responsibilities across these three levels and facilitation of common/similar/replicable systems and procedures that will facilitate sharing required information for monitoring and reporting purposes ● Relevant AUC Departments and Divisions understand their roles in supporting PSOs and are willing to support the central role of the Peace and Security Department in execution of political and legal decisions as concern PSOs ● Presence of individual, organisational and institutional capacities among the stakeholders within the ASF structures to implement what is required
Outputs Output 1.1 Political decision making guidance/procedures and cooperation mechanisms for PSOs are developed, formally endorsed and utilised by the AUC RECs/RMs and Member States	Outputs Indicators ● Development of guidelines and procedures aligned to current realities and developments ● AU (+ Member States) and RECs/RMs formally endorse guidelines and procedures ● Evidence that the entire system of actors systematically applies and references the guidelines and procedures for the purposes of political decision making	Sources of verification ● Reports from consultative meetings/workshops ● Decisions taken by the AU authorities	Assumptions ● Political will to adopt a clear definition and facilitate development of Political decision making guidance/processes and cooperation mechanisms for PSOs by both the AU, RECs/RMs and Member States



Output 1.2 Decision making processes and procedures for PSOs of the AU, RECs/RMs and Member States harmonised and streamlined	- Establishment of clear procedures for decision making/mandating of missions - RECs/RMs and Member States take specific decisions at the regional and national levels on the mandating and planning of AU led/mandated PSOs in accordance with collective decisions undertaken at the continental level - PSC and other relevant decision making authorities systematically adhere to established processes and procedures	- Consultative meeting between AU, RECs/RMs and Member States to map out a decision making process which also assigns roles and responsibilities, sequencing and harmonisation of decision making procedures - Formal endorsement of agreed processes/procedures	- Reports from consultative meetings - Decisions taken by the AU, REC-RM and Member State authorities	Political will of the AU, RECs/RMs and Member to harmonise and streamline their decision making processes and procedures for PSOs
Output 1.3 Legal arrangements and procedures for the employment of the ASF by the AUC and RECs/RMs concluded and agreed upon	- Existence of approved legal arrangements and procedures for PSOs - All relevant stakeholders are adequately sensitised on the legal requirements and arrangements	- Conduct workshop to develop legal framework for the ASF (to include relevant templates of legal documentation as required for operations) - Develop a joint AU – REC/RM MoU for the employment of the ASF - Ensure full endorsement of legal frameworks at all levels as relevant (AUC, RECs/RMs, Member States) - Ensure sensitisation and/or training of legal frameworks and arrangements for all relevant personnel, including Legal Officers at the AU, RECs/RMs and existing missions - Review legal arrangements for on-going missions with view to aligning these with revised arrangements and procedures	- Reports from workshop(s) - Mission mandates and legal frameworks (including key mission guidance documents and/or templates) - Monitoring and evaluation reports	Will of AUC, RECs/RMs and Member States to develop and abide by legal arrangements and procedures for the employment of the ASF
Output 1.4 Concepts of coordination and collaboration clearly defined and agreed upon by AU, RECs/RMs and Member States	- Existence of a strategy document that highlights guiding principles and expected results from coordinating the work - Evidence that this strategy document highlights and clarifies key coordination components and procedures - Agreement between the AU and RECs/RMs to use this strategic document as a basis for future deployment of operations	- Dialogue sessions between AU and RECs/RMs on the definition of coordination; - Agreement to develop a strategy document making the concept of coordination operational; - Drafting of the strategy document	- Minutes from AU-RECs/RMs and Member States meetings - Strategy document	Will of AU, RECs/RMs and Member States to agree on the concepts of coordination and collaboration and ensure implementation of all ASF processes follow this concept
Output 1.5 Harmonized policies and standard operating procedures between the AU and the RECs/RMs and Member States put in place	AU and RECs/RMs are able to work together in a more predictable manner	Dialogue sessions between AU and RECs/RMs and Member States on the types of policies and standard operating procedures that need to be harmonised	- Policy documents - Standard Operating Procedures - Reports of meetings - Decisions by decision-making organs	Agreement by the AU, RECs/RMs and Member States to harmonize their policies and standard operating procedures that will facilitate better coordination and cooperation among them

Output 1.6 Existence of an adequate monitoring system for following-up on implementation	The monitoring system clearly highlights the different types of information that need to be collected, documented and analysed; The monitoring system establishes clear responsibilities for performing monitoring tasks; The monitoring system is closely linked to management decision processes.	Development of the monitoring system; Management decision to allocate staff to specific monitoring functions; Common AU and RECs/RMs and Member States monitoring missions Common AU and REC/RMs and Member States monitoring meetings	Monitoring document, monitoring data, data analysis Management decision Minutes from monitoring meetings	Political will and agreement among the AU, RECs/RMs and Member States to develop and utilise monitoring system developed by themselves to achieve the required level of coordination and cooperation in the implementation of ASF initiatives
Problem definition 2	The planning elements do not have sufficient capacity as well as systems and procedures to adequately plan, deploy, manage, sustain and liquidate operations at the scale and pace with which deployments are being mandated.	Specific Objectives 2 The capacities of planning elements as well as the required systems, processes and policies to adequately plan, deploy, manage, sustain and liquidate PSOs are enhanced	Sources of Verification - Availability and utilisation of comprehensive policies and SOPs - Mission planning documents and templates - Monitoring and Evaluation reports - Lessons learned and best practise reports	Assumptions - Commitment and desire by AU and REC/RM leadership to logical and systematic planning, deployment and management procedures for PSOs - Relevant AUC Departments and Divisions (plus those at RECs/RMs) understand their roles in supporting PSOs and are willing to support the central role of the Peace and Security Department to ensure more effectively planned, deployed, managed and liquidated PSOs - Partners (multilateral and bilateral) to the AU and RECs/RMs desire to continue cooperation in support of African PSO capabilities and capacities

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 2.1 Policies, procedures and other guidance for planning, deployment, management, sustainment and liquidation of PSOs available and utilised by the AU	• Evidence that all ASF policy documents are updated in light of recent PSO experiences • Development of planning guidelines and procedures taking into account existing realities and constraints • The AU formally endorses planning, guidelines and disseminates internally, ensuring orientation of all planners and other Commission stakeholders as relevant (Human Resources, Finance, Procurement, Legal etc.)	• Mapping of all required systems, policies, procedures and guidance with view to determining gaps and/or status • Develop comprehensive action plan for addressing gaps, ensuring responsibilities and timeframes are assigned • Ensure all ASF policy documents are reviewed and forwarded for formal endorsement • Workshop to review/refine of the AU Aide Memoire on PSO planning and decision making • Submission of the Aide Memoire for formal endorsement by relevant principles • Ensure all planners and AU staff are sufficiently oriented to the Aide Memoire and able to apply it consistently • Encourage RECs/RMs to develop similar guidance which to the degree possible/ logical aligns with AU guidance	• Reports/minutes from consultative meetings/workshops • Decisions taken by the AU authorities • Action plans (that support mission planning, deployment, management and liquidation) • SOPs	• AU has the required capacity and capability to facilitate development and utilisation of these policies, procedures and other guidance for planning, deployment, management and liquidation of PSOs
Output 2.2 Human resource capacity of Planning elements are enhanced to the required levels	• Planning elements have sustainable mid-term human resource plans and strategies • Planning elements are staffed at the required levels • Detailed ToR are developed for all posts within planning element structures • Skills assessments are conducted on a regular basis, and human resource plans are adjusted accordingly • Training needs assessments are conducted, and targeted training is provided to address training needs	• Development of human resource plans and strategies and approval thereof • Post and staffing assessment conducted • Adjustment of ToR for all posts based on outcomes of assessments and human resource plans • Conduct of skills assessments • Conduct of training needs assessments • Recruitment of personnel	• Human resource plans and strategies • Reports of post and staffing assessments • ToR • Reports of skills assessments • Reports of training needs assessments • Recruitment statistics	• Political will to strengthen the planning elements at the AU Commission and the RECs/RMs • Ability of the AU Commission and RECs/RMs to recruit personnel in a timely manner • Ability to attract and retain trained and skilled personnel within the planning elements
Output 2.3 Systems and procedures for the planning of operations are developed and institutionalised	• Detailed guidance for the planning of operations is in place • Staff in the planning elements utilise and adhere to the planning guidance • The necessary systems and procedures to support the planning processes are in place	• Development of planning guidance • Dialogue forums on the planning guidance • Approval of the planning guidance at the required levels • Development of the necessary systems and procedures that underpin the planning process • Training of planning personnel to enable them to plan operations as per the guidance	• Planning guidance • Reports of meetings • Documented systems and procedures • Reports of training and workshops • Management decisions	• Political will to develop a structured approach to the planning of operations • Political will to institutionalise planning systems and procedures • Ability to clearly outline roles and responsibilities in the planning processes

Output 2.4 Systems and procedures for the management of operations are developed and institutionalised ● Detailed guidance for the management of operations is in place ● Staff in the planning elements utilise and adhere to the management guidance ● The necessary systems and procedures to support the management processes are in place	● Development of management guidance ● Dialogue forums on the management guidance ● Approval of the management guidance at the required levels ● Development of the necessary systems and procedures that underpin the management process ● Training of planning personnel to enable them to manage operations as per the guidance	● Management guidance ● Reports of meetings ● Documented systems and procedures ● Reports of training and workshops ● Management decisions	● Political will to develop a structured approach to the management of operations ● Political will to institutionalise management systems and procedures and willingness of other relevant departments to contribute to these processes as required ● Ability to clearly outline roles and responsibilities in the management processes
Problem definition 3 Critical mission support systems and mechanisms for accessing and activating strategic lift and facilitating the Command, Control, Communication and Information Systems (C3IS) as well as robust administrative and logistics policies and processes are not in place, constraining the ability to deploy personnel and facilitate management as required.	Specific Objectives 3 Critical mission support systems and mechanisms as well as robust administrative and logistics policies and processes for deployment, management, sustenance and liquidation of operations are established	Specific Objectives 3 Indicators ● Establishment and operationalization of the ASF Continental Logistics Base to facilitate mission start-up ● Establishment of an AU and RECs/RMs administrative and logistics support system, mechanism, process and framework for ASF operations ● Existence of formal agreements between AU and its partners on administrative and logistics support mechanisms for AU PSO ● Evidence of joint assessments between the AU, RECs/RMs and other partners on strategic lift capabilities on the continent, including continental movement coordination and facilitation ● Existence of formal agreements concluded between AU and its partners on support for AU PSO strategic lift capabilities and continental movement coordination and facilitation ● Existence of formal agreements concluded between AU and Member States strategic lift capabilities on support for AU PSO ● Establishment and operationalisation of the ASF Continental C3IS architecture and system ● Establishment and operationalisation of the ASF Continental and Regional Movement Control Centres (CMCC) and (RMCC) respectively	Sources of verification ● Status Report on the establishment of the Continental Logistics Base (CLB) and available strategic stocks for mission start-up ● Status Report on the establishment and operationalisation of the C3IS architecture, CMCC and RMCC ● Framework agreements between AU (RECs/RMs) and Member States on the provision of strategic lift for AU PSOs ● Partnership, framework agreements and Letters of exchange by AU and partners ● Decisions by authorities in AU and partner organisations/bilateral donors ● Reports and/or minutes of meetings ● Reports of assessment visits ● Press releases
Assumptions ● Commitment by all stakeholders to establish, stock and operationalize the CLB ● African Member States are committed to finding ways to address critical challenges as pertain to strategic lift capabilities, CMCC, RMCC, C3IS for PSOs ● Partners for African PSOs are committed and willing to continue working with AU and RECs/RMs to address critical challenges as pertain to strategic lift capabilities for PSOs			

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 3.1 The AU has a robust strategic lift concept for PSOs	- Existence of formal agreements concluded between AU and its Member States and partners on support to the provision of strategic lift, and CMCC/RMCC, for AU PSOs - Existence of agreements with private contractors for ASF strategic lift capabilities	- Conduct assessment of strategic lift and CMCC/RMCC infrastructure and capabilities at continental and regional levels - AU, REC/RM Workshop to review and finalise ASF strategic lift concept (considering especially possibility for pre-approved contracts for strategic lift capabilities) - Develop action plan for strategic lift, and CMCC/RMCC for AU PSOs - Submit finalised concept and implementation plan for consideration and formal endorsement by political principles - Establish the CMCC and the RMCCs in line with the African Standby Force Strategic Lift Capability Concept - Consultations with partners such as the UN on strategic lift support - Build HR trained capacity to manage the CMCC and the RMCCs	- Partnership agreements - Letters of exchange by AU and partners - Decisions by authorities in AU and partner organisations/bilateral donors - Reports and/or minutes of meetings - Reports of assessments - Press releases	- Will of AU Member States to offer and agree with the AU on modalities for the provision of support for strategic lift capability, and CMCC/RMCC, for PSOs - Will of partners to augment, if required, the support of AU Member States for the provision of support for strategic lift capability, and CMCC/RMCC, for AU PSOs or PSOs
Output 3.2 A sufficiently functional continental C3IS system for the purposes of African peace support operations established	- Evidence that the AU has in place a robust and effective C3IS architecture for its PSOs - Existence of CIS connectivity and C2 capability between the strategic HQ in Addis and the RECs/RMs PANELMs and PSOs - Existence of reliable expertise, funding and other resources for the optimum functioning of the C3IS system - Existence of guidelines and SOPs to support management of C3IS capabilities - Existence of trained and highly competent expert personnel for the management of routine and operational tasks and activities of the C3IS infrastructure	- Development of a detailed strategy for enhanced and effective capabilities for information sharing and command and control of its PSOs - Review lessons and experiences on C3IS in past and ongoing PSOs - Undertake review of the continental C3IS architecture strategy - Develop of policies, SOPs and guidelines for interoperability - Workshop (AU, RECs/RMs, and partners as relevant) to review and validate the strategy - Develop a training (exercise) plan and schedule for testing and validating C3IS capabilities for PSOs - Facilitate training of highly competent expert personnel for the management of routine and operational tasks and activities of the C3IS infrastructure - Verification of the C3IS infrastructure	- Verification Report of the AU C3IS infrastructure - Reports of technical assessments, workshops - Decisions by AU, REC/RM, Member State authorities - Agreements with partners - Press releases	- African Member States are committed to finding ways to addressing critical challenges as it pertains to C3IS for PSOs - Partners for African PSOs are committed and willing to continue working with African organisations to address critical challenges as related to C3IS - High degree of cooperation between AU and the RECs/RMs

Output 3.3 The CLB is established and operationalized and existence of sufficient level of field support mechanisms to support its operations	● Establishment and operationalization of the ASF Continental Logistics Base to facilitate mission start-up ● Existence of sufficient infrastructure, equipment, human capacity and other integral resources to ensure effectiveness and efficiency in its management of PSOs ● Evidence that where AU will continue to rely on external support, it has the ability and capacity to effectively manage and report on that support ● Existence of list of required stocks and equipment and determination on which are required in strategic reserve, and which will be sourced via pre-approved contracting arrangements	● Undertake a comprehensive technical assessment of logistics capabilities of RECs/RMs and Member States (with view also of identifying potential regional mounting bases) ● Development of generic Tables of Equipment for AU PSOs across all components (military, police and civilian) ● Facilitate AUC-wide workshop on key mission support lessons learned in AU operations ● Facilitate Workshop of the AU and RECs/RMs to review the logistics depot concept of the ASF for both the continental and regional levels ● Revision of ASF mission support strategy (including ASF support manual and ASF logistics concept) ensuring it is fully integrated; and that it prescribes financial, administrative, procurement, human resource, engineering, communications and other structures, processes and procedures as relevant for the unique needs of PSOs ● Submission of revised Mission Support concept for formal endorsement by AU, REC/RM and Member State Authorities ● Facilitation of pre-approved contracts (for certain services and equipment), particularly for mission start-ups	● Status Report on the establishment of the CLB and available stocks for mission start-up ● Availability of Generic Tables of Equipment for AU PSOs across all components (military, police and civilian) ● Revised Mission Support concept for implementation in AU PSOs ● Pre-approved contracts (for certain services and equipment), particularly for Mission Start-ups	● Commitment by all stakeholders to establish, stock and operationalize the CLB ● Reports and/or minutes of workshops and meetings ● Decisions by political authorities (AU/REC/RM/Member States) ● Will by AU, RECs/RMs and Member States to approve the facilitation of pre-approved contracts (for certain services and equipment)
Output 3.4 The AU has enhanced cooperation with partners on predictable and flexible support for the ASF	● Existence of formal agreements concluded between AU and its partners on support the ASF ● Evidence of coordinated mission support requirements between the AU and multi-lateral/bilateral partners	● Conduct joint assessments with the AU to assess PSO requirements ● Consultations with UN to agree on and develop MoU on use of Entebbe logistics depot for essential equipment and stocks etc. for the ASF and especially for mission start up purposes ● Meetings and formal agreements with other core developmental partners to discuss ASF mission support and logistics approach and areas for support	● Partnership agreements ● Letters of exchange by AU and partners ● Decisions by authorities in AU and partner organisations/bilateral donors ● Reports and/or minutes of meetings ● Press releases	● Willingness of partners to cooperate with the AU ● Decisions by the policy organs or decision-making bodies of partners to provide the required support needed by the AU

Problem definition 4 Uncertainty about the predictability of the pledges made by Member States for military and police personnel as well as cooperation in populating the ASC Roster with the required civilian personnel, including the challenge to verify and adjust training of these capabilities to better meet operational requirements			
Specific Objective 4: To ensure the efficiency of the ASF human resource management	Specific Objective 4 Indicators ● Existence of harmonised training standards and directives ● Existence of training evaluation, assessment, certification, verification systems ● Evidence of adequate capacity by training centres and institutions to support AU in facilitating required and targeted training processes using AU harmonised training standards in line with Annual ASF Training directives ● Continuation of the Training Centres Programme to facilitate support to training institutions to deliver and conduct training for the AU and ASF ● Evidence that the ASF has sufficiently qualified and skilled capacities and capabilities (military, police and civilian) pledged/on standby and on the ASC Roster ● Evidence of the promotion and utilisation of the ASC roster as a recruitment tool and approved human resource policy frameworks and field operations procedures that facilitate rapid deployment and management of field personnel ● Evidence and utilisation of adequate (civilian) recruitment/deployment policies and processes for field missions ● Evidence of training and rostering linkages to facilitate rapid deployment of qualified, experienced and well-trained personnel pledged for ASF operations	Sources of verification ● Training Directives and standards ● Reports of meetings ● Training certification strategy ● Monitoring reports ● Training statistics ● Training verification system ● Reports from simulation and verification exercises ● Roster statistics ● Reports of exercises ● Recruitment statistics and analysis ● Reports of recruitment after action reviews	Assumptions ● High degree of cooperation between AU Commission, RECs/RMs, Member States, training centres and training providers can be attained ● Will by training stakeholders to adhere to training certification ● Will by training stakeholders to support training verification ● ASC Roster is fully owned and deemed useful by the AU Commission and RECs/RMs ● Rostering systems and procedures are implemented and utilised ● Sufficient human resources at the required points within the Roster system to enable it to function appropriately



Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 4.1 Training directives, standards and requirements which meet operational requirements are developed by the AU	● Issuance of Training Directives and existence of training standards that are aligned to operational requirements ● Evidence that these standards are regularly reviewed, adjusted and disseminated to relevant stakeholders ● Agreement between AU, RECs/RMs, training centres, training providers and partners on their roles in line with their levels of responsibilities as per the continental training architecture ● Existence of a system for training evaluation, assessment, certification and verification ● Evidence that training needs and requirements are regularly reviewed as against experiences and lessons ● Continuation of the Training Centres Programme to facilitate support to training institutions to deliver and conduct training for the AU and ASF	● Drafting of training standards based on lessons learned from current operations ● Dialogue forums on training standards with stakeholders ● Support to training centres to enable them facilitate ASF training in line with AU strategic direction and guidance ● Develop training module with support from African training providers and other experts as relevant ● Conduct training for all relevant stakeholders at the AU, RECs/RMs and field operations	● Training directives and standards ● Reports of meetings ● Realignment of the training centres programme to meet specific training requirements	● Ability to translate operational lessons learned into training guidance which is suited to operational requirements ● Ability to translate training guidance into training outputs at a rapid pace ● Buy-in to, and ownership of, training standards by all stakeholders ● Will and available funding for the continuation of the Training Centres Programme to support Training Centres in facilitating AU specific training programmes
Output 4.2 The AU has developed a training certification system	● Existence of a training certification system ● Acceptance of, and buy-in to, the training certification system ● Adherence to the training certification system ● Accessible certified training statistics on a regularly updated basis	● Design and development of a training certification system ● Dialogue forum with stakeholders on development of the certification system ● Roll-out of training certification system ● Monitoring of, and reporting on, compliance with certification system ● Gathering, compiling, analysing and disseminating training statistics	● Training certification strategy ● Reports of meetings ● Monitoring reports ● Training statistics	● Will by all stakeholders to participate in the development of, and be held accountable to, a training certification system ● Suitability of the system, and the ability to implement it at the required levels
Output 4.3 The AU has developed a training verification system	● Existence of a training verification system ● Acceptance of, and buy-in to, the training verification system ● Conduct of training verification exercises/activities on a regular basis	● Design and development of a training verification system ● Dialogue forum with stakeholders on development of the verification system ● Conduct of training verification exercises	● Training verification system ● Reports of meetings ● Reports from verification exercises	● Will by all stakeholders to participate in the development of, and be held accountable to, a training verification system ● Suitability of the system, and the ability to implement it at the required levels ● Ability to undertake verification exercises

Output 4.4 The ASC Roster is populated with candidates as per the required standards contained in the Selection Guidelines Manual and other similar/ relevant policy documents	- Population of the database with suitable candidates - Adherence to the selection standards and criteria - Availability of a proportion of the candidates for deployment if required - Training and skills enhancement processes facilitated to prepare personnel for rapid deployment	- Awareness-raising by AU, RECs/RMs and Member States of the ASC Roster - Roster recruitment drives - Conduct of assessments of members of the roster to set standards - Recruitment simulation exercises - Conduct of training courses on the AU PSO course categories to facilitate skills enhancement of ASC personnel	- Reports of meetings - Reports of assessments - Roster statistics - Reports of simulation exercises - Reports on level of adequacy of training and skills enhancement programmes	- Sufficient number of candidates are interested in becoming members of the roster, and apply - Application procedures are transparent and open to those who are interested - The roster database which underpins the system works to the degree required - Screening and selection standards are implemented - Training and skills enhancement programmes are targeted at ASC personnel according to their areas of expertise and expected deployment roles and responsibilities
Output 4.5 The ASC Roster is utilised as the recruitment tool for deployments into field operations	- Cooperation between user departments and HR departments on recruitment for operations - Utilisation of ASC Roster procedures for recruitment for operations - A pre-determined percentage of personnel are recruited from the roster	- Dialogue forums within AU and RECs/RMs between relevant departments on recruitment for field operations - Utilisation of roster systems and procedures for full recruitment cycle - Assessment of recruitment processes for operations, and generation of lessons learned - Utilisation of lessons learned in further recruitment cycles	- Reports of meetings - Recruitment statistics and analysis - Reports of recruitment after action reviews	- Buy-in to, and ownership of, the roster as a useful tool for recruitment by stakeholders - Cooperation between the AU and RECs/RMs to enable efficient recruitment - Utilisation of roster recruitment systems and procedures - Suitable number of qualified personnel available in the roster when required

Mediation

Strategic Priority Objective To contribute to the effective and coordinated management and resolution of conflicts and crises through mediation by the AU and the RECs	Strategic Objective Indicators • Evidence of timely and coordinated mediation interventions by the AU, RECs/RMs • Evidence of enhanced capacity at the AU, RECs/RMs to plan, deploy, manage and support mediation interventions • Evidence of enhanced capacity by actors at national level to plan and conduct mediation interventions • Evidence of enhanced cooperation between the AU, RECs/RMs and the UN on mediation interventions	Sources of verification • Chairperson's report to the PSC on the state of peace and security in Africa • Knowledge Management Framework (AU) Reports of joint missions by AU and RECs/RMs • Reports from RECs/RMs mediation structures and other activity reports • Media reports • Programme evaluations and assessments	Assumptions • Will and commitment from all stakeholders to regard mediation as a key tool for the maintenance of peace and security • Will and commitment by AU and RECs to collaborate on mediation interventions; • Commitment by all relevant stakeholders to professionalise mediation in their respective organisations • Commitment by all relevant stakeholders to putting into practice what they committed to; • Availability of resources and capabilities
Problem definition 5 Mediation is increasingly used by the AU, RECs/RMs and at national level as an approach to the peaceful settlement of disputes and conflicts. Mediation is here understood as a structured process, involving a third party who is not a party to the conflict, the acceptance of mediation and a particular mediator by parties to a dispute, and the voluntary nature of agreements reached. Within the context of the AU, the Chairperson normally appoints Special Envoys and Special Representatives to conduct structured mediation processes. There are a number of key challenges at present: • The absence of a professionalised approach to mediation and sustained professional support to mediators at the AU and the RECs (Mediation Support Units) that would constitute a centre of excellence on mediation within the AU and the RECs, coordinate the development of expertise in mediation and preventive diplomacy, and coordinate support to mediators • Existing structures and processes are inadequate for rapid deployment of mediation and preventive diplomacy interventions, including flexible funding.			
Specific Objective 5 Enhanced capacity of the AU and the RECs/RMs to plan, deploy, manage, support and monitor mediation interventions.	Specific Objective 5 Indicators • Evidence of efficient mediation interventions • Evidence of operationalization of Mediation Support Units at the AU and the RECs/RMs; • Evidence and documentation of the use of the guidance contained in the 2012 SOPs for Mediation Support (note that these have clear guidance on: appointing and hiring processes for lead mediator; decision to deploy a mediator; creating a mediation roster; developing mediation mandates; creating an AU mediation team (needed expertise and capacity, core team members, resource persons); mediator pre-deployment briefings; design of mediation strategies; funding, etc. • Evidence and documentation of the use of the Knowledge Management Framework for Mediation (lessons learned, etc) • Evidence of reviews and evaluations of concluded AU and RECs/RMs mediations • Evidence of harmonization of national mechanisms with RECs	Sources of verification • Chairperson's report to the PSC on the state of peace and security in Africa • Panel of the Wise Secretariat reports; • Knowledge Management Framework • Reports from RECs/RMs mediation structures • Media reports • REC activity reports • Programme evaluations and assessments • Reports of consultative workshops/joint missions between AU and RECs/RMs	Assumptions • Commitment by all relevant stakeholders to streamline a professional approach to mediation in their respective organisations; • Political will and commitment by all relevant stakeholders to collaborate and coordinate their mediation interventions; • Availability of resources and capabilities

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 5.1 AU, RECs/RMs and national level actors (including parties to a negotiation/mediation) involved in mediation missions are equipped and supported with relevant capacities for effective mediation interventions	- Mediation Support Units at the AU and the RECs/RMs are created and functioning - AU Operational Support Team is created and functioning; - Targeted/tailored training to special envoys, representatives and their teams conducted; (special envoys and representatives have strengthened capacity to design, plan, deploy, manage and monitor mediation interventions); - Support to mediators in the field is provided; - PSD Roster is operational (as regards the mediation dimension) and used; - CEWS and PSD Desk Officers are involved in mediation planning and practice; - Enhanced capacity of the RECs to initiate and carry out mediations in their respective regions - RECs/RMs establish and operationalize Mediation Support Units - RECs/RMs are adequately prepared to deploy mediators with logistical and financial support when the need arises - Evidence of AU provision of support to RECs/RMs ongoing efforts to develop mediation rosters; - The Knowledge Management Framework is being used; - The AU and the RECs/RMs makes more use of women mediators; - Evidence that gender issues are systematically included in the mediation process;; - Continental Network of Women mediators established; - Linkages between national efforts/peace processes regional mediation efforts established - Evidence of strengthened collaboration between AU and RECs/RMs mediation structures/support units - Evidence of enhanced networking among women based CSOs engaged in Track II processes - RECs to establish Regional Associations of Women Mediators; - Parties to a negotiation/mediation are equipped with the technical knowledge to participate in negotiations/mediation - Fund raising/financial sustainability strategy agreed	- Finalise consultations and strategies for implementation of Mediation Support Units at AU and the RECs/RMs; - Implementation of the 2012 SOPs for Mediation Support (including decision on appointments, pre-deployment start-up phase, operational plans, etc); - Implementation of the Knowledge Management Framework for Mediation Processes is being used in preventive diplomacy missions; - Conduct needs assessment survey with Special Envoys, Representatives, PSC and Chairperson's office; - Targeted/tailored training to Special Envoys, Representatives and also AU Liaison Offices; - Development of concept note for "Operational Support Team"; - Promote closer interaction between all special envoys and representatives by, among others, expanding the one-day meeting at the High Level Retreat - Closer interaction with CEWS and PSD desk officers (including deploying them more often in mediation interventions); - AU, UN and other partners provide support in building the capacity of newly established mediation support units at the RECs/RMs; - Promotion of women as mediators and gender issues in mediation - Establishment of a Continental Network of Women mediators; - RECs/RMs to undertake assessments of national mediation capacities; - RECs/RMs to develop capacity building programmes on mediation to national actors; - Training of negotiation/mediation delegations; - Develop a strategy for fund raising and sustainability	- Chairperson's report to the PSC on the state of peace and security in Africa - Knowledge Management Framework - Media reports - REC activity reports - Programme evaluations and assessments - Reports of trainings provided/experience sharing workshops between the AU and the RECs/RMs - AU/RECs/RMs national mediation structures capacity and needs assessment reports	Availability of resources and capabilities;

Problem definition 6 In addition, and as regards mediation: ● The absence of a preventive diplomacy/mediation “system” that promotes, coordinates and synchronises early peacemaking actions by the PSC, the Chairperson, the Panel of the Wise/Friends of the Panel/PanWise ● The absence of mechanisms and procedures for ensuring coordination and cooperation between the AU, RECs/RMs and the UN in mediation and preventive diplomacy initiatives.					
Specific Objective 6 Enhanced coordination between the AU, the RECs/RMs and the UN on mediation interventions		Specific Objective 6 Indicators ● Examples of coordinated mediation interventions by AU, RECs/RMs and UN; ● Evidence of information-sharing and joint decision-making between AU and RECs/RMs; ● Evidence of joint mediation endeavours; ● Evidence of joint analysis and assessment between AU and RECs/RMs ● Forum of AU/REC/RMs mediation focal points	Sources of verification ● Knowledge Management Framework ● Chairperson's report to the PSC on the state of peace and security in Africa ● Reports of mediation interventions by RECs/RMs	Assumptions ● Will and commitment from all stakeholders to regard preventive diplomacy and mediation as inter-linked tools for the maintenance of peace and security ● Commitment by all relevant stakeholders to streamline a preventive action and mediation approach to CPMR; ● Commitment by all relevant stakeholders to putting into practice what they committed to; ● Availability of resources and capabilities	
Outputs Output 6.1 The modalities of coordination and collaboration between the AU and RECs/RMs on mediation interventions are clearly defined and agreed upon.	Outputs Indicators ● AU-RECs/RMs mediation guidelines adopted; ● Evidence of AU/RECs/RMs coordination and collaboration in their mediation interventions ● Evidence of increased frequency of joint mediations; ● Evidence of increased use of International Contact Groups; ● Forum of AU/REC/RMs mediation focal points launched and functioning; ● Evidence of enhanced desk to desk consultations ● AU/REC system of communication, information, knowledge and resources sharing and decision-making on mediation are enhanced ● Simulation exercises conducted; ● Joint trainings conducted;	Strategies/Activities ● Increase frequency of joint mediation missions (following the example of PanWise); ● Increased use of International Contact Groups; ● Continue to strengthen regional/sub-regional collaboration through technical support to the RECs; ● Developing the AU-REC/RM partnership on mediation through agreement on joint mediation guidelines, including streamlining agreed upon normative principles of conflict prevention and mediation; strengthening alignment of AU/RECs mediation guidelines; interpreting the subsidiarity principle; decentralising mediation by focusing more on the RECs and national level; address a modus operandi (who goes first) ● RECs/RMs incorporate the Knowledge Management Framework to their mediation activities; ● Develop concept for Forum of AU/REC/RMs mediation focal points (system of communication, information sharing and decision-making on mediation); ● Conduct simulation exercises with the purpose of training working together;	Sources of verification ● Guidelines adopted; ● Panel of the Wise Secretariat reports; ● Chairperson's report to the PSC on the state of peace and security in Africa ● Knowledge Management Framework ● Media reports ● REC activity reports ● Programme evaluations and assessments	Assumptions ● Political will and commitment from all stakeholders to collaborate and coordinate their mediation interventions; ● Commitment by all relevant stakeholders to putting into practice what they committed to; ● Availability of resources and capabilities	

Output 6.2 The modalities of coordination and collaboration between the AU, the RECs/RMs and the UN on mediation interventions are clearly defined and agreed upon.	● AU-UN mediation guidelines adopted; ● Evidence of AU/UN coordination and collaboration in their mediation interventions ● Evidence of increased frequency of joint mediations; ● Evidence of increased use of International Contact Groups; ● Evidence of enhanced desk to desk consultations ● AU/UN system of communication, information sharing and decision-making on mediation are enhanced ● Simulation exercises conducted; ● Joint trainings conducted;	● Increase frequency of joint mediation missions; ● Increased use of International Contact Groups; ● Continue to strengthen UN/AU/RECs collaboration through technical support, exchange of experiences, best practices and lessons learned; ● Developing the AU-UN partnership on mediation through adoption of joint mediation guidelines, including streamlining agreed upon normative principles of conflict prevention and mediation; strengthening alignment of UN/AU mediation guidelines; interpreting the subsidiarity principle; decentralising mediation by focusing more on the AU/RECs and national level; address a modus operandi (who goes first) ● Conduct simulation exercises with the purpose of training working together;	● Guidelines adopted; ● United Nations Secretary General Reports; ● Chairperson's report to the PSC on the state of peace and security in Africa; ● Panel of the Wise Secretariat reports; ● Knowledge Management Framework ● Media reports ● REC activity reports ● Programme evaluations and assessments	● Same as above
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Results Framework Strategic Priority 3: Post-Conflict Reconstruction and Peace Building

Strategic Priority Objective To contribute to effective, coordinated and timely support to post-conflict Member States and communities emerging from conflict	Strategic Objective Indicators ● PCRD interventions and support to Member States are timely and based on a systematic assessment of post-conflict needs ● Evidence of joint PCRD programming, including formulation of common objectives, between AUC departments, between AUC and RECs/RMs, between RECs/RMs and RECs/RMs and between AUC and Member States as well as RECs/RMs and Member States; ● Evidence of PCRD initiatives in post-conflict Member States that are based on continental or regional PCRD policies and/or strategies ● Evidence of enhanced capacities of AU and RECs to provide and coordinate support to post-conflict Member States, based on policies and strategies ● Evidence of financial and in-kind support mobilised by AU/RECs and channelled to post-conflict Member States ● Evidence of AU and RECs PCRD/DDR/SSR expertise deployed within peace support operations	Sources of verification ● Programme documents. ● Analysis of data by monitoring system; ● Narrative reports.	Assumptions ● Political will from all stakeholders involved in PCRD to translate commitments into actions; ● Presence of individual, organizational and institutional capacities amongst APSA stakeholders to implement the various components of the PCRD policy and to monitor results
Problem definition 1 Institutional mechanisms and policies identified by policy organs are not operational due to the three following reasons: ● Lack of clear definition and operational guidelines of the six pillars (indicative elements) of the PCRD policy Mechanisms for PCRD are not in place or not operational ● PCRD policies on regional level are often missing, or not harmonised with continental approach Specific Objective 1 PCRD mechanisms at the level of AUC, REC/RM and post-conflict countries as well as PCRD policies are in place and operational, in line with the six pillars of the PCRD policy framework	Specific Objective 1 Indicators ● Evidence that AUC and RECs/RMs have the mechanisms in place according to their mandate given by their respective policy organs ● Evidence of regional PCRD policies in place in all regions, and harmonised with the continental PCRD policy framework	Sources of verification ● PCRD country specific implementation strategies ● Member states strategic plans ● AUC/REC mandates and M&E reports	Assumptions ● All stakeholders (AUC, RECs/RMs, countries) are receptive and support the operationalization of consultation and collaboration mechanisms

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 1.1 The six pillars (indicative elements) of the PCRD policy framework are clearly defined	Operational guidelines or other strategic documents for the operationalization of each pillar are in place	Develop operational guidelines or other strategic documents on each of the pillars of PCRD, in close cooperation with relevant actors in AUC and RECs	Strategies/guidelines	Willingness of relevant departments and divisions to collaborate
Output 1.1 Mechanisms for PCRD are established and functioning, as defined by AU/REC decision makers	- The African Union Standing Multidimensional Committee on PCRD established - The PSC Standing Committee on PCRD is established - Ministerial committees on PCRD reconstruction in post-conflict countries established	- Establish the AU standing multidimensional committee on PCRD for interaction with international actors on PCRD - Engage with PSC in order to establish a PSC Standing Committee on PCRD to monitor actors and provide support to affected countries, and to review state of reconstruction on the continent on regular basis - Convene PSC reporting session on PCRD countries based on the implementation of the 6 pillars of the PCRD policy highlighting progress and challenges. RECs to provide regular reporting to such PSC sessions. - Assist post-conflict Member States in the establishment of ministerial committees on national level - at AUC level, establish an inter-departmental task force on PCRD which meets regularly, with participation of RECs/RMs	- Programme of PSC meetings - Minutes of PSC meetings - PCRD country reports	Political will of all relevant stakeholders (AUC, RECs/RMs, Member States) and decision makers (PSC)
Output 1.2 PCRD policies and implementation strategies for all regions are developed and harmonised	- Regional (REC) PCRD policies/strategies exist and are based on the continental PCRD policy framework - AUC and RECs/RMs have joint implementation strategies for PCRD - Member states are involved in the development of regional PCRD policies - Regional policies guide the development of selected national PCRD policies/plans and implementation strategies	- Adapt PCRD policy framework to region specific situation and develop policies/strategies/guidelines at the level of RECs - Assure involvement of Member States as well as close cooperation with AU in the development of regional policies	- Stakeholders engagement reports - Strategy documents - Joint work plans	Political will of all relevant stakeholders (AUC, RECs/RMs, Member States) and decision makers (PSC)
Problem definition 2	PCRD support is not always responding to specific needs in different conflict phases. This is due to the following main causes: - Lack of conceptual clarity on the phase of stabilization & early recovery at AU and RECs/RM - Lack of conceptual clarity on the conflict preventive element in peace building (PCRD not conceptualised in a holistic manner) - Lack of cooperation between actors responsible for different interventions in post-conflict Member States			

Specific Objective 2 PCRD interventions are responding to specific needs in different conflict phases		Specific Objective 2 Indicators	Sources of verification	Assumptions
		● Evidence that PCRD programmes and strategies are informed by joint analysis on the structural causes of conflict and include strategies and activities for conflict prevention ● Evidence of (approved) strategic documents which point out roles and responsibilities of AU and REC actors in the stabilization phase ● Evidence of increased joint planning and close cooperation and coordination of all actors/divisions within AU/RECs which are engaged in post-conflict countries and situations ● Evidence that the PCRD policy is leveraged in support of stabilization and early recovery efforts ● Evidence of early recovery instruments such as Quick Impact Projects and peace strengthening projects being utilised in PSOs or its immediate aftermath as instruments in support of stabilization and early recovery efforts	● Project documents ● Reports from Liaison Offices and field offices ● ConOps ● Implementation plan	● Will of AUC management for increased collaboration between in-house units ● Will of Member States to develop national PCRD strategy documents under the guidance of the REC(s) they belong to
Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 2.1 AU and RECs/RMs have developed a holistic strategy of interventions in the stabilization and early recovery phase	● Strategy/policy on stabilization/early recovery is in place ● QIPs are being implemented in “stabilized areas” according to stabilization strategy and within a defined time frame ● Evidence of enhanced PCRD capacities/expertise in PSOs (including DDR SSR)	● Develop AUC strategy/and policy on stabilization and early recovery in close coordination with PSOD, Department of Political Affairs, Department of Social Affairs and RECs/RMs ● Liaise with PSOs/missions to implement QIPs and PSPs in conflict in crisis or emerging from crisis. ● Assist PSOs/missions in the development of capacities in order to timely implement PCRD/early recovery/SSR/stabilization/QIPs based on the needs of targeted communities	● Joint Work plans highlighting role and responsibility of each actor ● Monitoring reports	● AUC and RECs/RMs have a common understanding of what PCDR programmes entail



Output 2.2 AU and RECs have developed a holistic concept on the interaction between peace building and conflict prevention as well as governance/state building aspects	● Evidence that PCRD planned intervention take into account recommendation of Pre-Election Assessment Reports; Early Warning Reports; structural conflict prevention and vulnerability assessment reports, as well as other early warning data	● Map out all processes AU & RECs engage in in peace building/state building situations, including monitoring of peace agreements, preventive diplomacy, human rights, transitional justice and reconciliation, election support, DDR/SSR etc. ● Engage with all AU/REC actors involved in post-conflict situations (as per the mapping) in order to develop a strategy on how to cooperate and create synergies ● Develop guidelines where necessary in order to make sure that do no harm approach and conflict sensitivity is assured; that interventions address or take into account long term structural causes of conflict and are in accordance with post-conflict needs	● Joint Work plans highlighting role and responsibility of each actor ● Monitoring reports	● Will and capacities of actors working on the AGA and other governance aspects to collaborate ● Will from Member States to be involved in conflict analyses highlighting the long-term structural causes of conflicts
Output 2.3 Mechanisms for coordination, joint planning and regular exchange on interventions in post-conflict Member States established and functioning	● The interdepartmental task force on PCRD fully functional ● RECs take regularly and actively part in the interdepartmental Taskforce Meetings	● Establish interdepartmental taskforce with all actors at AUC as well as REC Liaison Offices on PCRD ● Possible establishment of intradepartmental taskforces at REC level, which interact with REC Liaison Offices and provide input into task force at AU level ● Clarify roles and responsibilities and develop ToR for interdepartmental taskforce ● Discuss thematic as well as regions/countries and map out as well as coordinate and harmonize all interventions in the respective region/country ● Conduct joint stakeholder monitoring and evaluation activities	● ToR of task forces on AU and REC level ● Minutes of Task Force Meetings	● Will and capacities of actors working on the AGA and other governance aspects to collaborate
Problem definition 3	AU and RECs are tasked with exercising a coordination function when it comes to PCRD/peace building on the continent. They do not fully fulfil their coordination function due to the following reasons: ● Lack of clear definition of roles and responsibilities between AU and RECs, as well as harmonised approaches & regular exchange ● Lack of regular and systematic exchange/cooperation and partnership agreements with relevant actors in the field of PCRD ● Lack of participation of AU and RECs in other coordination mechanism on the continent, and lack of harmonizing approaches to those mechanisms			

Specific Objective 3 The AU and the RECs exercise their coordination function effectively and comprehensively		Specific Objective 3 Indicators	Sources of verification	Assumptions
Output 3.1 Regular systematic exchange between AU and RECs on PCRD strategies and interventions established	● AU and RECs/RMs have joint implementation strategies for PCRD ● AU and RECs engage regularly on PCRD	● Planning, monitoring and reporting processes on PCRD between AUC and RECs/RMs are harmonized ● AUC and RECs/RMs take up a relevant role in international PCRD processes, such as the New Deal and Post-Conflict reconstruction frameworks in Member States ● Implementation strategy for PCRD policy framework clearly highlights different roles and responsibilities of the various stakeholders	● Reporting and evaluation as well as monitoring within AUC and between AUC and RECs/RMs and other relevant stakeholders harmonized	● Willingness of continental, regional, national and international actors in PCRD to collaborate with AU and RECs, and accept coordination function of AUC
		● Dialogue sessions between AUC and RECs/RMs on the types of policies and strategies that need to be harmonized; ● Assure regular interaction between AUC and RECs/RMs through coordination mechanism as well as joint stakeholder work plans ● Harmonisation of policies and strategies in indicative elements of PCRD/peace building between AU and RECs	● Report on Stakeholders engagement meetings ● Joint strategy and workplan ● Joint monitoring mission	● All stakeholders are willing to collaborate on sustained implementation of PCRD interventions
Output 3.2 Regular systematic exchange between AU/RECs and external actors in the field of PCRD established	● Evidence of cooperation agreement between AUC-RECs/RMs and AfDB ● Evidence of established cooperation agreement with relevant UN organisations as well as other international organisations ● Evidence of cooperation agreements with international and African NGOs on peacebuilding, reconciliation and reconstruction activities	● Establish and operationalize coordinating mechanisms between AUC and UN Peace Building Commission ● Identify relevant CSOs in the area of PCRD ● Conduct joint stakeholder monitoring and evaluation activities ● Promote and enhance partnerships among AUC, RECs/RMs and other stakeholders ● Hold quarterly joint stakeholder meetings to enhance partnerships ● Hold joint AUC/RECs/RMs and other stakeholder annual planning meetings to enhance partnerships in PCRD intervention implementation ● Strengthening women and youth engagement in PCRD countries; ● Training of CSOs to engage in political dialogue and peace building	● Minutes from joint stakeholder monitoring activities ● Minutes of meetings ● Cooperation agreements with international partners, NGOs etc. ● Evaluation report	● All stakeholders are committed to collaborate on sustained implementation of PCRD interventions ● AUC, RECs/RMs, national, local and other relevant stakeholders are willing to take ownership of the PCRD interventions



Output 3.3 AUC and RECs play an active role in inter-national and regional fora and processes on PCRDR (New Deal, Donor forums, Groups of Friends etc.)	● Evidence of AUC and RECs/RMs take up a relevant role in international PCRDR processes, such as the New Deal and Post-conflict reconstruction frameworks in Member States ● Evidence of AU and REC engagement in New Deal Compacts for African Member States, or similar forums	● Identify and participate in relevant fora and exchange meetings in the field of PCRDR and peace building ● Engage in the New Deal process and participate in New Deal Compacts for African Member States ● Participate in Needs Assessments and other assessments of post-conflict countries on the continent by international actors	● Cooperation framework between the AUC-RECs/RMs and other stakeholders ● Joint work plan ● Monitoring mission	● All stakeholders are willing to collaborate on sustained implementation of PCRDR interventions
Problem definition 4 The PCRDR policy sees a major role for AU in the generation of alternative resources for post-conflict Member States. The AU (and RECs) so far were not able to generate resources despite launching of the so called African Solidarity Initiative due to the following reasons: ● The ASI mechanism for mobilizing additional resources to support PCRDR efforts in countries emerging from conflict is not fully conceptualised and operational; ● There is no clearly defined PCRDR funding windows for implementation of regional and national PCRDR programmes (through which AU would channel funds to RECs or MS) ● Funding needs of post-conflict Member States are not regularly and systematically assessed, PCRDR interventions often not based on member state needs ● Contributions (financial and in kind) for support to post-conflict MS and communities are not generated/pledged systematically and regularly	Specific Objective 4 Capacities of AU and RECs to generate (financial and in-kind) resources for post-conflict countries and communities are enhanced	Specific Objective 4 Indicators ● Resources being pledged and delivered by AU Member states in support to PCRDR countries ● In kind and financial support given to Member States, CSOs etc. through AUC and RECs/RMs ● Amount of funds being channelled through the PCRDR funding windows ● Number of Member States/AUC/RECs/RMs co-financing arrangements in support of PCRDR efforts in countries emerging from conflict	Sources of verification ● Financial Statements ● Financial reports	Assumptions ● AUC, Members states RECs/RMs, and other relevant stakeholders are willing to take ownership of PCRDR interventions ● AUC members states, partners and donors are willing to allocate resources for the postconflict reconstruction and development of countries emerging from conflict

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 4.1 The African Solidarity Initiative is fully conceptualised and operational	• A resource mobilization strategy is formulated and implemented • Contributions made by AU members States, private sector, philanthropist and foundations in support of PCRD • A mechanism for matching support and needs of Member States is in place and functioning	• Development and implementation of ASI resource mobilization strategy • Development of strategies and mechanisms to operationalise the ASI with all aspects (identifying post-conflict needs, matching of needs with support pledged by Member States or other actors; channeling of funds or deploying of technical support etc.) • Development of a mechanism to support Member States to engage with each other and implement support (e.g. secondment of staff from one member state to another) to post-conflict countries • Establish the necessary (staffing) capacities to track appeals, donor pledges, commitments, disbursement of funds and ensure reporting on use of the same.	• Pledges • In kind support provided • Financial statements	• AU members states are willing to allocate resources for the post-conflict reconstruction and development of countries emerging from conflict alongside traditional development partners
Output 4.2 Funding windows to channel funds from AU to RECs and MS for PCRD interventions are clearly defined and established	• PCRD activities of RECs/RMs are implemented through an AUC/REC funding window • Funding is provided to Liaison Offices and field missions in accordance with Peace Strengthening Projects (PSP) handbook and guidelines	• Establishment of funding window for AUC and RECs/RMs to implement regional and cross-border PCRD interventions • Define financial and technical requirements for the funding window at AU level • Define financial and technical requirements for the recipients • Define reporting mechanism etc.	• Cooperation framework between the AUC-RECs/RMs and other stakeholders • Joint work plan • Monitoring mission	• Adequate funding allocated in the PCRD fund windows to address PCRD needs
Output 4.3 Needs of post-conflict Member States are regularly and systematically assessed and linked to resource mobilization efforts (financial and in-kind)	• Post-conflict needs assessment (PCNA) methodology defined etc. • PCNAs conducted in post-conflict Member States • Resources pledged through ASI/channelled through funding window are based on assessed post-conflict needs	• Assessment of PCNA methodology & stocktaking of past PCNA missions • Develop harmonized PCNA • Conduct PCNA missions in post-conflict countries • Plan interventions of AUC, RECs/RMs, AULOs, regional missions etc. based on PCNAs • Ensure that AUC and REC programmes (e.g. Comprehensive Africa Agriculture Development Programme, Programme for Infrastructure Development in Africa etc.) in post-conflict countries are based on PCNA	• PCNA methodology documents • PCNA reports • Mission reports • Programme documents (proposals, programme and evaluation reports)	• Adequate funding and human resources available

Output 4.4 Financial and in-kind resources are regularly mobilised in pledging conferences and other occasions, based on post-conflict needs	● Pledges made during pledging conferences	● Convene round table resource mobilization for countries emerging from conflict; ● Ensure technical capacities of AU/RECs to receive pledges in a timely manner, and to forward them to recipient in accordance with rules and regulations of AU ● Base resource mobilization on recently assessed post-conflict needs ● Ensure matching of pledges and needs through established mechanism	● Minutes from resource mobilization meetings ● Pledge documents	● AUC members states, partners and donors are willing to allocate resources for the post- conflict reconstruction and development of countries emerging from conflict
Problem definition 5 The AU & RECs have limited capacities to respond to post-conflict Member States needs by developing and implementing country suitable, timely support measures, due to the following reasons: ● AU/LOs and REC LOs in Member States have limited capacities & unclear mandate to closely interact with Member States on their needs ● AU and RECs have limited capacities to assist Member States through development & monitoring of tailor made interventions according to Member States needs ● AU and RECs have limited access to expertise in all fields of PCRD which can be deployed to support Member States (on short term basis)				
Specific Objective 5 Capacities of AU and RECs to respond to post-conflict Member States needs through effective coordination and development of PCRD interventions/Member States support are enhanced	Specific Objective 5 Indicator ● Number of Member States which are supported in the implementing of policies or strategies which are related to PCRD (security, transitional justice and human rights, socio-economic reconstruction and development, humanitarian/emergency aid, gender as well as governance and democracy aspects) ● Number of PCRD Assistance requests addressed by AU and REC ● Evidence that support to member state is based on post-conflict needs assessment	Sources of verification ● PCRD strategies ● Implementation plans ● Monitoring plans	Assumptions ● All stakeholders are willing to collaborate on sustained implementation of PCRD ● Post-conflict Member States request support from AU/RECs ● Funds for PCRD interventions are available and mobilised in due time	
Outputs Output 5.1 AU and REC's Liaison Offices and field offices are equipped with relevant PCRD capacities and clear mandates	Outputs Indicators ● AUC PCRD has adequate capacities in place in line with the 6 pillars of the PCRD Policy ● Liaison Offices and field offices in post-conflict countries have adequate capacities to work with Member States on identification of post-conflict needs and to generate matching support via AU/RECs/ASI PCRD roster functioning ● Mandates of liaison offices and regional missions are regularly revised and reflect post-conflict needs of the Member States ● Liaison Offices and field offices and regional missions have implementation strategies in place to fulfil their mandate	Strategies/Activities ● Assess AUC, RECs/RMs and Liaison Offices and field offices capacities required for addressing PCRD gaps in policy implementation ● Develop strategies to address the capacity gaps identified for AUC, RECs/RMs Liaison Offices and field offices ● Provide training and capacity development to AU/LOs, as well as clarification on their role in regards to the PCRD policy implementation ● Make sure that PCRD needs of post-conflict Member States are considered in the review of AU/LOs mandates ● Ensure coherence between Liaisons Offices/field offices programmes and activities and AUC-RECs/RMs strategies for country emerging from conflict	Sources of verification ● Assessment report ● Recruitment reports ● Staffing lists	Assumptions ● Adequate funding is available to support capacity gap

Output 5.2 Capacities of AU and RECs to assist Member States in the development and monitoring of tailor made national, regional, and cross-border interventions according to Member States needs enhanced	● Technical assistance to post-conflict Member States provided through the identification of relevant expertise making use of the PCRD roster of experts Liaison Offices and field offices contribute to the enhancement of MS capacities through peace strengthening projects ● Selected Member States are supported in the implementation of PCRD processes (security, Transitional Justice, Governance, Gender, Humanitarian, socio-economic development) ● National and local stakeholders are engaged in the development of PCRD policies and strategies ● Evidence of PCRD Assistance requests addressed by AU and REC	● Develop implementation strategies for all indicative element of the PCRD policy framework ● Assist Member States upon request to develop or harmonise and implement national policies in the field of PCRD/peace building, aligned with regional/continental policies ● Assist Member States in the implementation of policies and programmes in the indicative elements of PCRD ● Engage national, local and other stakeholders in development of PCRD policies and promote the implementation of such policies ● Enhance capacities at level of AU and RECs as well as Liaison Offices in indicative elements of PCRD through training etc. ● Development of best practices in the 6 PCRD pillars	● Implementation strategies and plans ● Reports on implementation ● Evaluation/assessment reports ● Reports on countries implementing PCRD in line with the 6 pillars of the continental PCRD policy	● Adequate funding is available to support capacity gap
Output 5.3 AU and RECs have access to experts in all indicative elements of PCRD and a mechanism to deploy the expertise to post-conflict Member States according to their needs	● ToR for expertise in PCRD existing ● Roster developed and filled with qualified staff ● Number of experts deployed via the roster	● Expertise needed for PCRD and peace building processes defined and ToR developed ● Development of PCRD roster to respond to the 6 pillars of the PCRD policy (including CSOs) ● Mechanisms in place to deploy experts to post-conflict Member States or AU-LOs/missions	● Database in place at AUC level ● Frequency of positive feedback to requests for deployment in AU peace support operations	● Technical assistance in requested in AU peace support operations / by AU Member States
Problem definition 6	The AU & RECs have limited capacities to effectively fill out the role given to them in the SSR policy framework due to the following five main reasons: ● Regional SSR policies are not developed and/or not used to standardize and harmonise national SSR policies ● AU and RECs have limited capacities to assist Member States in the development and implementation of national SSR policies and strategies ● AU and RECs have limited capacities to engage with and bring together relevant stakeholders on all levels on SSR on the continent ● Strategic documents & policy document which guide the conduct of armed forces in the field of SSR are not developed or not in place ● AU and RECs have limited access to expertise in all fields of SSR which can be deployed to support Member States or African led PSOs			

 Specific Objective 6 AU and RECs have the capacities to effectively fulfil their role as defined in the SSR policy framework	Specific Objective 6 Indicator - Number of Member States supported in implementing SSR policy - Evidence of SSR assistance requests addressed by AU and RECs - SSR processes supported by AU/RECs are gender sensitive - Number of required civilian SSR experts provided in support of AU peace support operations		Sources of verification - Reports - SSR Project/Programme documents	Assumptions - Will and capacities among Member States to embark on SSR processes - Availability of funds and of qualified human resources (military and civilian)
	Output Indicators - Regional SSR policies are in place and based on continental policy - Number of Member States that aligned their policies to AU/REC SSR policies	Strategies/Activities - Develop regional SSR and governance frameworks to assist MS to comply with continental policy framework (SSR Policy) - AU in collaboration with RECs, RMs facilitate and support MS align national policies with AU and regional policy framework on SSR - RECs, RMs, in collaboration with MS develop mechanisms for monitoring and reporting on the implementation of AU SSR guidelines and guidance notes	Sources of verification - Reports on MS aligned national policies with AU SSR - Reports on developed mechanism for monitoring and reporting the implementation of AU SSR guidelines and guidance notes	Assumptions Willingness of MS to align their policies to regional and national policy frameworks
	Output 6.1 Regional SSR policies are developed and serve as instruments for standardization and harmonisation of national SSR policies	Output 6.2 Capacities of AU and RECs to assist Member States in the development and implementation of national SSR policies, strategies and programmes are enhanced	Sources of verification - SSR assessment tools and guidance notes in place - Best practices generated and disseminated for SSR - Evidence of transfer of relevant skills during the SSR training workshops and other capacity building exercises	Assumptions Member states request for or agree to the support of AU/RECs for national SSR processes

Output 6.3 AU and RECs bring together relevant SSR stakeholders on the continent	● Evidence of experience shared relevant to AUC and RECs/RMs ● Evidence of agreements with UN and other international actors on common engagement in SSR processes	● RECs to designate an SSR focal point to coordinate SSR activities in MS and with AU & international communities (SSR Policy) ● Provide a continental dialogue forum for exchange of national SSR experiences (SSR Policy) ● AU and RECs to collaborate with UN and other international partners and stakeholders in all aspects of security sector reform and especially those aspects of SSR that affect the African continent (SSR Policy) ● Engage international partners with the view to encourage them to be accountable to their agreed commitments in support of the SSR activities of MS (SSR Policy)	● Minutes/documentation from continental dialogue forum ● Minutes/documentation from engagement with UN and other international stakeholders	● Willingness of other stakeholders to engage meaningful on SSR with AU and RECs
Output 6.4 Strategies and policy documents that guide the conduct of armed forces in the field of SSR are developed	● Continental code of conduct for armed forces in place	● Develop a continental code of conduct for African armed forces, security institutions and AU missions, a manual on SSR best practices in Africa, and guidance on harmonization of national security, in partnership with the UN (SSR Policy)	● Code of conduct ● Manual on SSR best practices on the continent	● Will from stakeholders to engage in the development of the code of conduct ● Adequate human and financial resources are available
Output 6.5 Roster of African experts on SSR is in place and functional	● SSR experts are available and ready for deployment to Member States or African-led PSOs	● Create, maintain and update a roster of African experts on SSR including on pillar experts (Defence, Police, etc.)	● Database in place at AUC level ● Frequency of positive feedback to requests for deployment in AU PSOs	● SSR technical assistance is requested in AU PSOs
Problem definition 7	The AUC, RECs/RMs and Member States have limited capacities to respond to DDR challenges within the African continent due to 3 main reasons: ● DDR processes are not sufficiently promoted at national and local levels; ● AU and RECs/RMs and Member States have limited capacities in DDR; ● Civilian DDR expertise is not fully institutionalised in AU peace support operations			

 Specific Objective 7 Enhanced capacities of AUC, RECs/RMs and Member States to meet the DDR challenges in post-conflict African countries	Specific Objective 7 Indicator		Sources of verification	Assumptions
	Outputs	Outputs Indicators		
 Output 7.1 DDR processes promoted at national and local levels	● Number of countries promoting and implementing DDR strategies		● Reports on capacity enhancement of AU, RECs and Member States in DDR ● Reports on DDR requests addressed within the framework of peace support operations ● Reports of forums and development of documents	● AU and RECs address member state's requests in DDR as well as requests within the framework of peace support operations
	● Support the planning and implement of comprehensive and well-blended disarmament, demobilization, rehabilitation and reintegration programs, as a basis for consolidating safety and security ● Supporting the development of gender aware and child protection mainstream in DDR among national, local and other stakeholders ● Providing technical staff to support the development and implementation of DDR programs.		● Reports on engagement of stakeholders on development of DDR strategies ● Evidence on provision of assistance to women and children in DDR programs ● Number of staff deployed	● National, local and other stakeholders promote implementation of DDR processes
 Output 7.2 AU, RECs/RMs and Member States capacities enhanced in DDR	● Number of member states supported in implementing DDR policies		● Reports on countries implementing DDR policies ● Reports on development and operationalization of DDR policies ● Reports on implementation of DDR policies	● AU, RMs and RECs use their enhanced capacities to promote DDR processes
	● Evidence of quality human resource in the roster		● Database in place at AUC level ● Frequency of positive feedback to requests for deployment in AU peace support operations	● DDR technical assistance in requested in AU peace support operations
 Output 7.3 Civilian DDR expertise is institutionalised in AU peace support operations				

Results Framework Strategic Priority 4: Strategic Security Issues

4

Strategic Objective	Strategic Objective Indicators	Sources of verification	Assumptions
To contribute to enhancing the timeliness and effectiveness of the response to strategic security challenges by all stakeholders	• Evidence of effective policies, programs and capacities being developed and implemented to address transnational threats • Evidence of Member States incorporating/implementing gender dimensions in SALW control programmes including national plans, national commissions, legislation, data on arms and violence against women and vulnerable groups.	• Policy and programme documents • SALW control programme documents (national plans, commission reports) • Laws on SALW control • Reports on data on arms and gender-based violence	
Problem definition 1 Limited effectiveness in addressing illicit flows of SALW due to: • Legal and policy instruments to address the illicit flow of weapons are not domesticated; • Weak operational capacities of members states to prevent, detect and respond to illicit SALW trafficking and circulation; • Insufficient updated research, data and analysis on trafficking and circulation of illicit SALW to support evidence-based programming; • Lack of a comprehensive monitoring and evaluation capacity with regards to illicit SALW control interventions; • Absence of an effective law enforcement cooperation and coordination mechanism with a continental and sub-regional (RECs) scope to facilitate inter-state cooperation; • Limited capacities of PSOs in managing and accounting for weapons and implementing illicit SALW control interventions;			
Specific Objective 1 Integrated, comprehensive and sustainable policies and measures to address the illicit flow of SALW are effectively implemented in line with international instruments and best practices	Specific Objective Indicators • Evidence of Member States marking arms and maintaining records; • Evidence of Member States cooperating in arms tracing and seizure; • Evidence of Member States securing arms stockpiles; • Evidence of Member States adopting legislation and measures to regulate arms ownership and transfers, and criminalizing illicit activities; • Evidence of Member States' ownership and financial contribution to national policies and programmes	Sources of verification • Biannual PSC Report to the AU Assembly on the state of peace and security in Africa • Thematic AUC Chairperson reports to the PSC • Reports by RECs and Regional Bodies	Assumptions • Member States have the will and the capacity to mark arms, maintain records and secure stockpiles • Member States have the capacity and the will to make funds available for national policies and programmes on SALW control

Outputs	Outputs Indicators	Activities/strategies	Sources of verification	Assumptions
Output 1.1 Legal instruments to address the illicit flow of weapons are effectively domesticated	- Financial, technical and operational gaps at national and regional levels are identified - Response measures to address the gaps agreed upon - Legal and regulatory instruments developed - Involvement/consultation of women groups in development of legislation and provisions for the prevention/penalization of Gender-based violence (GBV) in national legislation	- Strengthened coordination initiatives: bi-annual Steering Committee meetings - Mobilization of financial and technical resources for Member States - Direct technical support to members states	Reports of the Steering Committee on SALW/DDR	- AUC/RECs having the required human and financial resources to assume an effective coordination role - Donor interest and commitment
Output 1.2 Operational capacities are built	- Member states have technical and operational skills to mark arms, maintain records, secure arms stockpiles, regulate arms ownership, cooperate in arms tracing, etc. - Member states have acquired the skill necessary to evidence-based programming - Percentage of women trained on SALW control issues and women working in supported national programmes	Providing operational support to priority interventions in SALW control (training, purchase of equipment, development of guidelines, etc.)	- Training curricula and reports - Reports to the Assembly and PSC	Member states ability to capitalize on support provided
Output 1.3 Comprehensive knowledge on the flow of illicit SALW on the continent is available	- Information on illicit SALW suppliers, financiers and facilitators as well as transit points and recipients is compiled - Studies highlight gaps and challenges that undermine states capacities to address the illicit SALW flow - Data gathered/reports produced on GBV and impact of illicit/misuse of SALW on women, girls, children and vulnerable groups	- Commissioning of expert studies in collaboration with RECs/RMs and research groups - Compilation of reports and data from RECs, RMs and research groups - Validation of findings - Drafting suggested strategic responses - Evidence based planning	Publication of AUC study	- Availability of donor or Member State funding - Relevant expertise is located in Africa - Collaboration with African and international illicit arms tracking CSOs and research institutes - Collaboration with United Nations - Cooperation of Member States in research and data gathering
Output 1.4 Monitoring capacity in SALW control established	- Basic guidelines developed, agreed upon and integrated into project design, including assessment and evaluation of gender dimensions - Consolidated information on SALW control activities compiled	- Development of basic guidelines for the integration of evaluation and assessment in project design by AU/RECs/RMs - Biennial reports on SALW control support by AU/RECs/RMs and partners	- Publication of guidelines - Publication of reports	- Cooperation of Member States and implementing agencies in evaluation and assessments - Human and financial capacities at the AUC/RECs level to manage knowledge

Output 1.5 PSOs capacity to manage weapons holding and stockpiles and implement SALW control interventions built	● SOPs/guidelines developed, validated and adopted ● PSOs mandates inclusive of arms management components ● PSOs acquiring the skills necessary to implement SALW control interventions including response to SALW/GBV	● Technical support to PSOs in developing SOPs and guidelines to manage and account for weapons ● Technical support to PSOs in streamlining SALW control into ConOps and mission mandate ● Training and operational support to PSOs in implementing mandated SALW control interventions	● Regular PSOs reports to the PSC ● Publication of guidelines ● PSO mandate and ConOps	● Commitment of PSOs/TCC/PSC to accountability in arms management ● Commitment by donors to support arms management components of PSO mandates
Problem definition 2 Inability of Member States to fully meet their obligations under the Anti-Personnel landmines Convention and the Convention on Cluster Munitions due to:	● Limited technical and operational capacities of Member States to implement mine action programmes; ● Lack of integrated and sustainable policies and programmes to support victims of landmines and UXO; ● Absence of inter-state modalities and agreements to clear mines in border areas; ● Absence of regional mechanisms/platforms to mobilize resources and foster south-south cooperation; ● Limited expertise, financial and operational resources at the level of PSOs to deal with the threat of IED and UXO;			
Specific Objective 2 Mine action and counter-IED/explosives management programmes are implemented by affected Member States and PSOs in an integrated and sustainable manner	Specific Objective Indicators ● Evidence of Member States progress towards their clearance deadlines/targets ● Evidence of victims' assistance policies and programmes ● Evidence of participation of women in national mine action ● Conclusion of agreements and development of cross-border demining projects ● Resources mobilized through the South-South cooperation platform ● Percentage of IEDs detected and disposed by AU-PSOs	Sources of verification ● Progress reports submitted by Member States to the responsible international bodies ● Reports by UNMAS and implementing agencies ● PSOs incident reports	Assumptions ● Commitment and capacity of Member States to implement effective mine action programs	
Outputs	Outputs Indicators	Activities/strategies	Sources of verification	Assumptions
Output 2.1 Technical and operational capacities of Member States to implement mine action programmes are built	● Member states practitioners have acquired the skills and resources necessary to implement mine action programmes	● Collaboration with Mine Action centres to deliver training to member state practitioners ● Provision of demining and training equipment to affected Member States ● Delivery of training on various Mine Action components (awareness, program management, landmine impact surveys, gender mainstreaming, etc.)	● Training reports (including assessment of effective transfer of skills)	● Capacity of mine action centres to train practitioners ● Ability of Member States to utilize and capitalize on technical and operational support provided

	Output 2.2 Victim assistance programmes are integrated into national policies	- Member states acquiring the necessary knowledge to develop victims assistance policies, legislation and programmes - Member states developing victims assistance components tailored specifically for women and children - Cross-border cooperation agreement concluded	- Technical support and training to Member States on developing and sustaining victims assistance programmes - Development and dissemination of guidelines and best practices on victims assistance - Facilitate the conclusion of interstate agreements to survey and demine border regions under the auspices of the AU Border Program	- Curricula and reports of training sessions - Publication of guidelines	- Active engagement and collaboration of the relevant AU departments (Social Affairs) and AU agencies (African rehabilitation Institute) - Commitment of Member States to addressing needs of mine victims - Commitment, cooperation and transparency of concerned states to border demining initiatives - Capacity of the AU, RECs and partners in developing, managing and coordinating border areas demining programs
	Output 2.3 Agreement reached and projects developed to demine border areas	- Strategy and implementation modalities validated by experts - Pledges made by donors and international partners	- Development of the south-south cooperation strategy and implementation modalities - Convening of biennial donor conferences and south-south cooperation platforms	- Documentation of the agreements - Project documents (proposals, reports and evaluations)	- Human and financial capacity of the AU/RECs to manage the platform - Interest and commitment of Member States and donors to enhance south-south cooperation
	Output 2.4 South-South Cooperation platform and platform and continental resource mobilization modalities established	- PSOs mandates inclusive of arms management and counter-IED components % of women who acquired knowledge on counter-IED and explosive management and % of women serving in the relevant units	- Technical support to PSOs in streamlining counter-IED and explosives management in the development of ConOps - Mobilization of technical and operational support to capacitate PSOs in the area of counter-IED and explosives management	- PSOs mandates - Training reports (including assessment of effective transfer of skills)	- Commitment of PSOs/TCC/PSC to enhancing PSOs capacity in explosives management and counter-IED - Commitment by donors to support explosives management and counter-IED
	Problem definition 3 Limited effectiveness in implementing the international regimes on WMD disarmament and non-proliferation due to: - Legal and policy instruments against WMD are not domesticated; - Weak operational and institutional capacities of members states; - Insufficient research and data on the threat and risks of illicit chemical, biological and nuclear proliferation and trafficking;				
	Specific Objective 3 Instruments and policies to address WMD disarmament and non-proliferation are effectively implemented	- Technical assistance and training provided to Member States to domesticate legal and operational aspects of the international instruments against WMD - Member States establishing/designating the required implementation mechanisms/bodies	Sources of verification Member states reports to the bodies administering the regimes	Assumptions Interest and commitment of Member States in implementing international regimes against WMDs	

Outputs	Outputs Indicators	Activities/strategies	Sources of verification	Assumptions
Output 3.1 Legal instruments to address WMD disarmament and non-proliferation are effectively domesticated	- Technical and operational gaps at national and regional levels are identified - Legal and regulatory instruments developed	- Collaboration with the international bodies to sensitize states, identify gaps and channel assistance to Member States - Mobilization of technical and operational resources for Member States from donors and international partners	- Reports of workshops and assessment missions to states - Member states reports to the bodies administering the regimes - Annual reports of bodies administering the regimes	Member states allocating the required human and financial capacities to implement WMD related regimes
Output 3.2 Comprehensive knowledge on the risks and threats of chemical, biological and nuclear proliferation and trafficking is available	- Information and data on illicit trafficking networks, incidents and security gaps is compiled - Studies highlight gaps and challenges that undermine states capacities to domesticate regimes against WMD	- Commissioning of expert studies - Compilation of reports and data available with the international bodies	Publication of studies	Availability of data and cooperation of Member States in research and evidence gathering
Problem definition 4 Ineffective and unsustainable counter-terrorism efforts due to: - Absence of an effective rule of law-based criminal justice response to terrorism; - Poor capacities and training of law enforcement agencies to implement preventive and response measures to terrorist acts; - Lack of integrated approaches to prevent radicalization, address the conditions conducive to the spread of terrorism and engage civil society; - Poor coordination and collaboration among states in policy, legislative and operational counter-terrorism measures; - Absence of rigorous and updated operational research and analysis that informs policy development and response measures ; - Absence of an inclusive continental platform to coordinate Counter Terrorism action among Member States, RECs, donors and assistance providers;				
Specific Objective 4 National and regional counter-terrorism measures are effective in preventing and responding to terrorist acts		Specific Objective Indicators - Evidence of MS authorities foiling terrorist acts - Evidence of terrorism cases investigated and tried in courts - Evidence of CSO involvement in/support for national counter-terrorism efforts - Evidence of inter-state cooperation in terrorism investigations and trials - Evidence of Member States sharing and utilizing intelligence, reports and studies on terrorism and counter-terrorism - Evidence of effective support and coordination provided to Member States by donors, partners and RECs - Evidence of de-radicalization initiatives by RECs - Evidence of programmes implemented by counter violent extremism (CVE) initiatives	Sources of verification - Debates and reports on terrorism at National Parliaments - Trial documentation - Reports from CSOs - Donors' reports	Assumptions - Commitment of Member States to counter-terrorism based on a rule-of-law approach - Commitment of Member States to effectively share intelligence

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 4.1 Legal instruments to address counter-terrorism are effectively domesticated and criminal justice systems strengthened	● Status of ratification of the international instruments ● Member states practitioners have acquired the knowledge and skill necessary to implement good practices on criminal justice Responses to terrorism ● Member states develop and implement strategies/practices taking into consideration women's role in Counter Terrorism	● Legislative support to Member States in ratifying and domesticating regional and international anti-crime and counter-terrorism instruments ● Training and capacity building support to judges, prosecutors and law enforcement agents in integrating and implementing essential components and best practices on criminal justice responses to terrorism, rule of law and human rights (criminalization, investigations, cooperation, detention, trials, corrections, etc.)	● Reports of legislative assistance missions and programmes ● Reports and records of training programmes	● Commitment of Member States to counter-terrorism based on a rule-of-law approach
Output 4.2 Capacities of law enforcement agencies to implement preventive and response measures to terrorist acts are built	● Member states practitioners have acquired the knowledge and skill to prevent and respond to terrorist acts ● % of women capacitated	● Training and support to law enforcement agencies in preventing and responding to terrorist acts (information and intelligence gathering and analysis, protection of sensitive sites, investigations and evidence gathering and protection, countering IEDs, anti-money laundering and countering the financing of terrorism, recruitment and internet abuse, emergency response, human rights safeguards, etc.)	● Training curricula and reports	● Ability of Member States to utilize and capitalize on the support provided
Output 4.3 National and regional integrated strategies to prevent radicalization, address the conditions conducive to the spread of terrorism and civil society engagement are developed	● Conditions conducive to the spread of terrorism harmonized into national and regional counter terrorism strategies and workplans ● Mandates of regional cooperative counter-terrorism operations under the AU and RECs auspices are integrated and holistic	● Consultative and inclusive platforms to develop context-specific approaches and programmes to prevent radicalization and recruitment and address conditions conducive to the spread of terrorism and preventing radicalization ● Early recovery, counter-radicalization and community engagement components streamlined into regional cooperative counter-terrorism operations	● Minutes from meetings ● Strategy documents	● Ability and commitment of the AUC and RECs to coordinate their action

Output 4.4 Enhanced judicial and operational cooperation among Member States and regions	● Information shared, priorities and gaps identified and cooperative response measures agreed upon ● ConOps of regional security operations and endorsement by the PSC ● Decisions and directives issued by the PSC in response to annual reports of Member States ● Agreement reached regarding extradition and judicial cooperation ● Endorsement by the AU Commission on International Law and the AU Conference of Ministers of Justice and Attorneys General	● Strengthening and sustaining consultation and cooperation platforms for intelligence sharing and coordination and harmonization of counter-terrorism efforts ● Political and operational support to the development of cooperative regional counter-terrorism operations and intelligence sharing mechanisms including within the framework of CISSA, ACSRT Focal Points and the Nouakchott and Djibouti Processes ● Operationalization of the role of the PSC pursuant to the 2004 Protocol and the relevant communiqués ● Support to the harmonization of legislation and other inter-state modalities regarding extradition and arrest warrants ● Operationalization and implementation of an African Arrest Warrant against individuals accused of terrorist acts;	● Consultation minutes and reports ● PSC decisions and reports ● Documentation related to the extradition and judicial cooperation agreement ● AUC decisions and reports (AU Commission on International Law and AU Conference of Ministers)	● Willingness of Member States and trust amongst them to cooperate on counter terrorism issues
Output 4.5 Comprehensive knowledge and analysis available on terrorist groups modus-operandi, agendas and structures; recruitment and financing methods, and analysis of trends	● Information on terrorist groups, financiers and collaborators and interlinkages with organized crime is compiled ● Studies highlight gaps and challenges that undermine states capacities to prevent terrorist acts ● Undertaking of studies focusing on the role of women and concepts of gender in terrorism and counter-terrorism	● Commissioning of periodic and thematic expert research and studies ● Focal Points designated by Member States to the ACSRT and information shared regularly ● Submission by Member States of their annual reports pursuant to the 2004 Protocol ● Counter-terrorism harmonized and integrated into CEWS ● ACSRT counter terrorism Situation Room operationalized ● Assessment and evaluation mission to Member States	● Publication of AUC study	● Capacity of the AUC/RECs to develop knowledge and willingness of Member States to cooperation on data gathering
Output 4.6 Effective coordination mechanism established among states, RECs, donors and assistance providers in identifying and aligning priorities and allocation of resources	● Priorities and gaps identified and response measured agreed upon ● Steering Committee proposal endorsed and ToR of the steering committee adopted	● Convening of the annual Consultative Counter-Terrorism Forum ● Establishment of the AU-RECs Steering Committee on Counter-terrorism and TOC ● Supporting RECs to replicate the efforts at AU levels ● Establishing sub-region cooperation/co-ordination centres at RECs levels	● Report of the CT forum ● ToR of the Steering Committee ● PSC communiqué endorsing the establishment of the Steering Committee	● Willingness of regional and international actors to join and actively participate in the coordination platform under the AUC umbrella

Problem definition 5 Ineffective and incomplete implementation of the international instruments on anti-money laundering and countering the financing of terrorism due to: ● Financial Intelligence Unit (FIUs) are absent, understaffed or lack a clear mandate and powers to enforce AML/CFT measures; ● Inadequate inter-state cooperation on AML/CFT issues including on judicial, institutional and operational matters; ● Regulatory and operational challenges to address AML/CFT in the informal sector and cash-based economy; ● Inadequate regulatory measures to address the vulnerability of non-profit organizations to abuse by terrorists; ● Poor capacities and integrated approaches to address proceeds of criminal activities such as environmental crimes, trafficking and smuggling;				
Specific Objective 5 International legal instruments and recommendations of the FATF and the High Level Panel on Illicit Financial Flows recommendations are fully and effectively implemented		Specific Objective Indicators ● Evidence of Member States developing and enforcing national legislation and practices on AML/CFT ● Evidence of FIU and LEAs adequately capacitated to fulfil their mandate ● Evidence of preventive and response measures to deal with AML/CFT in the informal economy and charity establishments and other designated non-financial businesses and professions (DNFBPs) ● Evidence of effective policies and practices linking anti-environmental crime efforts to AML/CFT ● Evidence of increased suspicious transaction reports received by FIUs ● Evidence of increased awareness of AML/CFT among reporting entities	Sources of verification ● Annual report by MS pursuant to the 2004 Protocol on terrorism ● Mutual Evaluations of the FATF ● Reports by UN agencies and Security Council bodies ● Reports commissioned by the AU Conference of Finance Ministers and relevant AU STC	Assumptions
Outputs Output 5.1 Financial Intelligence Unit (FIUs) are established, capacity built and effective mandates provided	Outputs Indicators ● Member states receive assistance required to develop legislation and regulations ● Member States acquire knowledge and skills necessary to implement international standards and best practices	Activities ● Facilitate the delivery of technical and legislative support to Member States in establishing FIUs and developing/strengthening their mandate and operational modalities ● Training to FIUs and financial establishments in implementing FATF recommendations, recommendations of the High Level Panel on Illicit Financial Flows and the International Convention for the Suppression of the Financing of Terrorism	Sources of verification ● Legislative support missions reports ● Chairperson report to the PSC on counter-terrorism ● Training curricula and reports	Assumptions ● Interest of Member States in developing active FIUs



Output 5.2 Effective inter-state cooperation on AML/CFT issues including on judicial, institutional and operational matters	● Agreements reached and measures adopted ● Member States acquire knowledge and skills to enhance cooperation	● Facilitate regular forums/sessions to foster exchanges, common understanding and approaches to enhance inter-state cooperation ● Joint training for Member States on international cooperation in judicial matters regarding AML/CFT	● Workshop reports ● meetings conclusions/declarations ● Training curricula and reports	● Willingness of Member States and trust amongst them to cooperation on issues of AML/CFT
Output 5.3 Effective regulatory and operational measures implemented to address AML/CFT in the informal sector and cash-based economy	● Member states acquire the knowledge and skills necessary to address AML/CFT within the context of the informal sector and cash couriers	● Develop operational guidance notes and compile best practices to assist Member States address AML/CFT within the context of the informal sector and cross border transportations of currency ● Joint trainings to address cash couriers and cross border cross-border transportations of currency	● Publication of guidelines ● Training curricula and reports	● Recognition by Member States of the need to have effective measures to deal with AML/CFT in the informal sector
Output 5.4 Effective regulatory and transparency measures implemented to prevent the abuse of non-profit organizations	● Member states receive assistance required to develop legislation and regulations ● Non-Profit Organizations and CSO acquire the skills and knowledge necessary to prevent abuse	● Technical and legislative support to Member States in regulating operations of non-profit organizations ● Training to non-profit organizations and CSOs on transparency and preventing abuse for terrorist financing purposes	● Legislative support missions reports ● Chairperson report to the PSC on counter-terrorism ● Training curricula and reports	● Recognition by Member States of the need to have effective measures to deal with AML/CFT in the non-profit sector
Output 5.5 Law enforcement agencies including police, judiciary, prosecution etc. are capacitated	● LEAs in Member States acquire skills to investigate and prosecute money laundering crimes	● Assessment of capacities needed ● Mapping of relevant LEAs on the AML/CFT ● Sensitisation exercises on AML/CFT training workshop	● Assessment/workshop and training reports	● Political will to support anti-money laundering is provided
Output 5.6 Effective policies and guidelines developed to address terrorist financing from environmental crimes, trafficking and smuggling	● Information available on terrorists sponsors and sources of financing ● Regional approaches/initiatives developed and adopted	● Commission/support studies and research to identify trends in terrorism financing and gaps in response measures ● Facilitate the development of integrated and comprehensive approaches and policies to address terrorism financing through environmental crimes, trafficking and smuggling	● Publication of research findings ● Meeting reports/conclusions/recommendations ● Project documents/concept papers	● Capacity of the relevant national authorities to coordinate their action

	Problem definition 6 Weak integration of maritime security policy into APSA due to 3 main reasons: • Absence of a Plan of Action for the Operationalization of the 2050 AIM Strategy; • Maritime security is not effectively mainstreamed into CEWS; • RECs strategies on maritime security are not aligned to AIMS 2050.					
	Specific Objective 6 The 2050 Africa's Integrated Maritime Strategy (AIMS) is fully integrated into APSA		Specific Objective Indicators • Evidence of the AUC developing an implementation matrix and Member States adopting a Plan for the Operationalization of the 2050 AIMS • Evidence of revised CEWS indicators and guidelines • Evidence of RECs developing and adopting harmonized strategies on maritime security	Sources of verification • AUC Chairperson report to AU Assembly • Revised CEWS Handbook and SOPs • REC harmonization workshop reports and effective harmonized strategies on maritime security	Assumptions • Active support of ECOWAS, ECCAS and the Gulf of Guinea Commission	
	Outputs	Outputs Indicators	Activities	Sources of verification	Assumptions	
	Output 6.1 Plan of Action for the Operationalization of the 2050 AIM Strategy is effectively implemented	• Implementation matrix of AIMS is drafted	• Developing and adopting a Plan of Action for the Operationalization of the 2050 AIM Strategy in accordance with AU Assembly Dec. 496 (XXII)	• AU Chairperson report to AU Assembly	• Coordination by AUC	
	Output 6.2 Maritime security is effectively mainstreamed into CEWS	• CEWS Indicators' Module is amended • CEWS Handbook is revised	• Amending the CEWS Indicators' Module (data collection and monitoring) • Revising the CEWS Handbook	• Amended CEWS Indicators' Module • Revised CEWS Handbook		
	Output 6.3 RECs strategies on maritime security are aligned to AIMS 2050	• RECs strategies on maritime security, particularly on piracy, armed robbery and other • illegal activities committed at sea, consistent with the 2050 AIM Strategy, are designed	• Harmonizing RECs strategies on maritime security through regional workshops	• RECs strategies on maritime security	• Will and capacity from RECs to align their strategies	

Problem definition 7 Poor coordination in combating Transnational Organized Crime (TOC) and anti-cyber crime policy missing due to 8 main reasons: • Legal instruments to address TOC are not effectively domesticated; • Legal codes to address TOC are weak; • There is a lack of information, analysis and response options for members states and RECs/RMs with regard to TOC; • The nexus between TOC, terrorism and violent extremism is not well known; • Legal instruments to address cyber crime are not effectively domesticated; • AUC Chairperson report on cyber security is not tabled; • Absence of national cyber security frameworks; • Absence of REC and REC-toREC agreements on mutual assistance in combating cyber crime.				
Specific Objective 7 Cooperation and coordination of combating Transnational Organised Crime (TOC) is strengthened and a continental anti-cyber crime policy is actively promoted				
Specific Objective Indicators • Evidence of ratification and domestication of legal instruments on TOC and cyber crime in Member States • Evidence of the establishment – in collaboration with AFRIPOL – of a regional TOC centre • Evidence of Member States efficiently addressing the nexus between TOC and terrorism and violent extremism • Evidence of Member States adopting cyber crime frameworks • Evidence of increased REC-to-REC assistance in combating cyber crime		Sources of verification • Member State reports and AUC ratification register • AUC Chairperson reports	Assumptions • Cooperation with the UN Office on Drugs and Crime (UNODC)	
Outputs Output 7.1 Legal instruments to address TOC are effectively domesticated	Outputs Indicators • Ratification register is compiled	Activities • Annual reporting by Member States to AUC	Sources of verification • AUC website on status of legal documents	Assumptions • Coordination by AUC
Output 7.2 Legal codes are strengthened to address TOC	• AU/RECs conference on mapping of legal codes is organised	• Organise mapping of status quo and identify areas for follow-up activities	• Conference documentation	
Output 7.3 An African TOC Centre under the aegis of AFRIPOL is established	• Centre (similar to ACSRT in the field of counter-terrorism) is established	• AUC establishing with AFRIPOL and regional police organisations a centre to systematically provide Member States and RECs with information, analysis and response options for with regard to TOC • Developing guidelines for the establishment of national specialised TOC investigation units	• Working plan of a AFRIPOL TOC Centre • Counter-TOC guidelines	• Collaboration with UNODC • Close cooperation with AFRIPOL (under construction), CAPCCO, SARPCCO and WAPCCO

 Output 7.4 The nexus between TOC and terrorism and violent extremism is addressed	● AU/RECs workshop on TOC and terrorism is held	● Organise workshop to explore the nexus between TC and terrorism and violent extremism ● Detail policy recommendations on the basis of the workshop	● Workshop documentation	● To be coordinated by the African Centre for the Study and Research on Terrorism (ACSRT) and the Chairperson's Special Representative for Counter-Terrorism Cooperation
 Output 7.5 Legal instruments to address cyber crime are effectively domesticated	● Register of ratification is compiled	● Ratification and domestication of the AU Convention of Cyber Security and Personal Data Protection in accordance with AU Executive Council Dec. 846 (XXV)	● AUC website on status of legal documents	● Coordination function of AUC
 Output 7.6 AUC Chairperson report on cyber security is tabled	● AUC Chairperson reports to AU Assembly	● AUC Chairperson report on cyber security which (1) describes the extend of the threat to peace and security in Africa, (2) maps national efforts of Member States to counter-act IT-based threats against peace and security, (3) documents some best practice and lessons learned, (4) follows up on the AU Assembly decision to harmonize national legislations through a convention on cyber security, (5) suggests coordinating activities by the AUC vis-à-vis the RECs, and (6) details a strategy of how to mobilize the support of international partners such as the UN or the EU in these efforts	● AUC Chairperson report	
 Output 7.7 National cyber security frameworks are facilitated	● AUC Chairperson reports to AU Assembly	● Facilitating regional workshops on the design of national cyber security frameworks in accordance with AU Executive Council Dec. 846 (XXV), §24	● AUC Chairperson report on the adoption of national cyber security frameworks	
 Output 7.8 REC and REC-toREC agreements on mutual assistance in combating cyber crime are in place	● Register of multilateral agreements between RECs is compiled	● Drafting mutual assistance in cyber-crime agreements in accordance with AU Executive Council Dec. 846 (XXV) ● Adopting and ratifying mutual assistance in cyber-crime agreements	● REC Press Statements on conclusion of mutual assistance in cyber crime agreements	

Output 7.9 AFRIPOL is effective in coordinating police and law enforcement agencies to combat Transnational Organized Crime	● Evidence of adequate staff in place at AFRIPOL ● Evidence of modalities for collaboration and information sharing between Member States	● Conduct training for Secretariat Staff to enhance capacities for strategic planning, programming, coordination and cooperation; ● Support the development and adoption of modalities for cooperation, collaboration and information-sharing between Member States within the framework of AFRIPOL; ● Conduct capacity building, at regional level, for police for combating cyber-crime and counter terrorism; ● Conduct training in counter-narcotics; ● Support implementation of activities to fight organized crime, including illicit trafficking of arms and persons, wildlife and environmental crimes.	● Training documents and training evaluation reports ● Strategy/policy documents related to coordination among Member States	● Will from different stakeholders and availability of adequate funding
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Results Framework Strategic Priority 5: Coordination and Partnerships

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Strategic Objective To contribute to enhanced effectiveness of coordination and partnership within the APSA framework	Strategic Objective Indicators ● Evidence of regional peace and security strategies designed and implemented in line with the AU policy framework ● Evidence of common programming, including formulation of common objectives, between AUC departments and between AU and RECs/RMs; ● Evidence of common positions on APSA framework between AU and RECs/RMs; ● Evidence, documentation and joint analysis of the implementation of the subsidiarity principle in several operations in the field; ● Evidence of lessons learned from the implementation of the subsidiarity principle (results and challenges) that are feeding new programming; ● Evidence of implementation and monitoring of decisions the AUC has committed to; ● Evidence of efficient use and possible mutualisation of human resources between the AUC and RECs/RMs; ● Evidence of timely deployment of the Panel of the Wise from the AUC;	Sources of verification ● Programme documents. ● Amount and quality of common positions. ● Examples of implementation of subsidiarity principle. ● Programme documents ● Analysis of data by monitoring system; narrative reports.	Assumptions ● Will from all stakeholders involved in APSA to putting into practice what they committed to; ● Presence of individual, organisational and institutional capacities within APSA stakeholders to implement the different strategies included in the roadmap and to monitor results
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Problem definition 1 Limited effectiveness of the coordinating function of the PSC with the RECs/RMs mechanisms (Protocol Relating to the Establishment of the African Union Peace and Security Council (PSC), 2002) due to 4 main reasons: • Limited interactions between the AU-PSC and similar mechanisms within RECs/RMs; • Lack of common understanding of the principles of subsidiarity, complementarity and comparative advantage (what they mean and entail); • Lack of clear guidelines to make the interactions between PSC and RECs/RMs mechanisms fully operational;					
Specific Objective 1 The coordinating function of the PSC is effective					
Outputs	Outputs Indicators	Strategies/Activities	Specific Objective 1 Indicators	Sources of verification	Assumptions
Output 1.1 Interactions between the AU-PSC and similar mechanisms within RECs/RMs are in place	• Evidence of RECs/RMs substantive inputs into PSC meetings;	• Evidence of decisions from PSC taking into account RECs/RMs inputs; • Evidence of common PSC-RECs/RMs positions • Operation of joint AU-RECs/RMs Field Missions/Liaison Offices	• Minutes from PSC meetings, reports, communiqués • Data from monitoring system	• Will of PSC to open its sessions to RECs/RMs	
Output 1.2 The concepts of subsidiarity, complementarity and comparative advantage (and/or partnership) are clearly defined and agreed upon	• Existence of a strategy document that highlights guiding principles and expected results from using the subsidiarity principle; • Evidence that this strategy document highlights and clarifies key subsidiarity components and procedures for application; • Agreement between the AU and RECs/RMs to use this strategic document as a basis for future implementation of APSA.	• Dialogue sessions between AU and RECs/RMs on the definition of subsidiarity (and/or of partnership); • Agreement to develop a strategy document making the subsidiarity concept operational; • Drafting of the strategy document;	• Minutes from AU-RECs/RMs meetings; • Strategy document;	• Will to adopt a clear definition of these terms by both the AU and the RECs/RMs	
Output 1.3 Clear guidelines to make the interactions between PSC and RECs/RMs mechanisms operational are in place	• Existence of guidelines/policy document highlighting principles and expected results from PSC – RECs/RMs interactions; • Agreement between the PSC and RECs/RMs to use this document as a basis for future interactions.	• Dialogue sessions between PSC and RECs/RMs on the nature of RECs/RMs interactions with PSC; • Development of guidelines/policy document stipulating the nature of RECs/RMs interactions with PSC.	• Minutes from PSC-RECs/RMs meetings; • Guidelines document	• Will of PSC to engage on regular basis with RECs/RMs	

Problem definition 2 Limited intra and inter-departmental collaboration/coordination at AUC/RECs/RMs levels due to: - Weak horizontal linkages within each department; - Weak horizontal linkages between the various APSA components;					
Specific Objective 2 Enhanced intra and inter-departmental collaboration/coordination at the level of the AUC and RECs/RMs		Specific Objective 2 Indicators - Evidence of collaboration/coordination between PSD and other AUC Departments in different conflict phases (prevention, management, resolution and PCRD) - Evidence of deepened collaboration and linkages between the various APSA components and the African Governance Architecture (AGA) both at AU and REC level - Evidence of joint APSA activities and programming between the PSD and other relevant Departments within the AUC	Sources of verification - Minutes from meetings - Data from monitoring system - Mission reports	Assumptions Management buy-in	
		Strategies/Activities - Organisation of a weekly information sharing (PSD staff and management level) - Organisation of bi-monthly coordination meetings - Organisation of joint planning sessions between PSD divisions/units - Institutionalisation of the Interdepartmental Task Force on Conflict Prevention at technical and policy levels;	Sources of verification Minutes from coordination meetings	Assumptions Will from PSD to commit to building internal synergies	
Outputs		Outputs Indicators - Evidence that PSD staff have access to the same level of information regarding PSD activities; - Evidence of harmonization of planned activities;			
Output 2.1 Coordination mechanisms within various PSD divisions and units are in place					
Output 2.2 Horizontal linkages between the various departments are functioning		- Evidence of shared responsibilities between different departments; - Evidence of joint analyses and joint activities between various AUC departments and between PSD divisions; - Evidence of information sharing;	- Minutes from Task Force meetings; - Joint analyses reports	- Will from AUC Departments to commit to building synergies; - Human resources are made available for participating in coordination meetings.	
Problem definition 3 Limited implementation of the MoU between the AU and the RECs/RMs in the realization of APSA due to 4 main causes: - Lack of a clear and commonly shared understanding of the concepts of subsidiarity, complementarity and comparative advantage (what they mean and entail); - Lack of a clear and commonly shared understanding of the concept of coordination (what it means and entails); - Lack of harmonized policies/standard operation procedures between the AU and the RECs/RMs; - Lack of adequate monitoring system for the MoU implementation;					

Specific Objective 3 The MoU between the AU and the RECs/RMs is implemented effectively	Specific Objective 3 Indicators ● Participation of AU and RECs/RMs Liaison Officers in all relevant statutory meetings of the AU and RECs/RMs; ● Evidence of the fact that RECs/RMs Liaison Offices have access to all relevant reports required to fulfil their mandate under the PSC Protocol; ● The Chairperson of the AU Commission and Chief Executives of the RECs/RMs meet at least once a year; ● Evidence of institutionalised and systematic use of channels for information sharing at higher political level and technical level between the AU and the RECs/RMs; ● Evidence of institutionalisation and use of common conflict analyses; ● Examples of joint fact finding and/or monitoring missions between the AU and the RECs/RMs; ● Evidence of common reports – RECs/RMs contributing to AUC and PSC reports to the AU Assembly of Heads of State and Government.	Sources of verification ● Minutes from meetings ● Data from monitoring system ● Minutes from meeting ● Data from monitoring system ● Conflict analyses ● Mission reports	Assumptions ● Will from all stakeholders involved in APSA to putting into practice what they committed to; ● Presence of individual, organisational and institutional capacities within APSA stakeholders to implement the different strategies included in the roadmap and to monitor results
Outputs Output 3.1 The concepts of subsidiarity, complementarity and comparative advantage (and/or partnership) are clearly defined and agreed upon	Outputs Indicators ● Existence of a strategy document that highlights guiding principles and expected results from using the subsidiarity principle; ● Evidence that this strategy document highlights and clarify key subsidiarity components and procedures; ● Agreement between the AU and RECs/RMs to use this strategic document as a basis for future implementation of APSA.	Strategies/Activities ● Dialogue sessions between AU and RECs/RMs on the definition of subsidiarity (and/or of partnership); ● Agreement to develop a strategy document making the subsidiarity concept operational; ● Drafting of the strategy document;	Sources of verification ● Minutes from AU-RECs/RMs meetings; ● Strategy document; Assumptions ● Will to adopt a clear definition of these terms by both the AU and the RECs/RMs



 Output 3.2 The concept of coordination is clearly defined and agreed upon	● Existence of a strategy document that highlights guiding principles and expected results from coordinating and harmonizing the activities of the RECs/RMs with those of the AU; ● Evidence that this strategy document highlights and clarifies key coordination components and procedures; ● Agreement between the AU and RECs/RMs to use this strategic document as a basis for future implementation of APSA. ● Evidence of shared responsibilities between AUC and RECs/RMs;	● Dialogue sessions between AU and RECs/RMs on the definition of coordination; ● Agreement to develop a strategy document making the concept of coordination operational; ● Drafting of the strategy document; ● Institutionalisation of the AU-RECs/RMs Task Force on strengthening the relations between the AUC and RECs/RMs in the area of peace and security.	● Minutes from AU-RECs/RMs meetings; ● Strategy document;	● There is will to define the concept of coordination
 Output 3.3 Harmonized policies and standard operation procedures between the AU and the RECs/RMs put in place	● Document highlighting standard operation procedures developed	● Dialogue sessions between AU and RECs/RMs on the types of policies and standard operation procedures that need to be harmonised;	● Minutes of meetings ● SOPs	● Will to develop the standard operation procedures by the AU and the RECs/RMs
 Output 3.4 Existence of an adequate monitoring system for following-up on the MoU implementation	● The monitoring system clearly highlights the different types of information that need to be collected, documented and analysed; ● The monitoring system establish clear responsibilities for performing monitoring tasks; ● The monitoring system is closely linked to management decision processes.	● Development of the monitoring system; ● Management decision to allocate staff to specific monitoring functions; ● Common AU and RECs/RMs monitoring missions (one per year in each REC/RM) ● Common AU and REC/RMs monitoring meetings (one per year)	● Monitoring document, monitoring data, data analysis; ● Management decision ● Minutes from monitoring meetings	● Will and capacity to develop an adequate monitoring system
 Problem definition 4	Limited relevance and efficiency of AU Liaison Offices established by the Peace and Security Council (PSC) and of AU Liaison Offices within the RECs/RMs due to 3 main reasons: ● Lack of revision of AU Liaison Offices/Field Missions mandate despite changes on the ground (No clear exit strategies for AULOs; Unclear lines of communication and reporting) ● Limited direct links between different Liaison Offices (AULOs/Field Missions and AULOs to the RECs/RMs and AU Regional Offices); ● Limited (in numbers and relevance) technical capacities of the Liaison Offices;			

Specific Objective 4 The AU Liaison Offices are relevant and efficient		Specific Objective 2 Indicators	Sources of verification	Assumptions
Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 4.1 Liaison Offices' mandates are regularly reviewed and reflect the political/security situations on the ground	• Evidence of gaps between the mandate of some AULOs and the political/security situation on the ground addressed; • Existence of a clear exit strategy for each AULO (in post-conflict countries); • Lines of communication and reporting are clarified	• Participation of AU Liaison Offices in all relevant statutory meetings of the AU and RECs/RMs; • Evidence of institutionalised and use of common conflict analyses; • Evidence of close involvement of AU Liaison Offices in the organisation of joint fact-finding and/or monitoring missions done by the AU, the RECs/RMs and/or partners; • Evidence of improved quality of monitoring of peace agreements, political situations on the ground, and implementation of PSC decisions on the ground;	• Minutes of meetings; • Content of conflict analyses; • Mission reports • Monitoring reports	• Will from all AU, RECs and RMs to put into practice what they committed to; • Presence of individual, organisational and institutional capacities within AU and RECs/RMs to implement the different strategies included in the roadmap and to monitor results
Output 4.2 AU Liaison Offices are equipped with relevant staff (in adequacy with their respective mandate)	• Existence of clear job descriptions based on specific roles and functions that each staff has to play in order to implement APSA; • Staff recruited according to clear guidelines	• Evaluation of AULOs relevance, efficiency and effectiveness; • Development of guidelines for formulating relevant mandates for AULOs depending on changes in political/security situation on the ground; • Analysis of needs in terms of human resources specific to each Liaison Office (directly linked to the mandate of the Liaison Office) • Development of clear guidelines for staff recruitment • Recruitment of staff	• Administrative documents (guidelines, job descriptions, AULOs mandate, etc.) • Minutes recruitment process	• Those Liaison Offices whose mandates are not clearly defined shall be defined • Partners and/or members states agree to support staff recruitment
Output 4.3 Existence of an adequate monitoring system for following-up on the performance of Liaison Offices	• The monitoring system clearly highlights the different types of information that need to be collected, documented and analysed; • The monitoring system establishes clear responsibilities for performing monitoring tasks; • The monitoring system is closely linked to management decision processes.	• Development of the monitoring system; • Management decision to allocate staff to specific monitoring functions; • Common AU-RECs/RMs (and partners) results-monitoring meetings	• Monitoring and evaluation system • Management guidelines and decisions • Minutes of the meetings	• The AU will develop a monitoring system for following-up of the performance of the Liaison Offices

 Problem definition 5 Limited relevance and efficiency of partnership(s) between the AU and its external partners due to 6 main reasons: ● Limited common understanding of the concept of partnership (what it means and entails); ● Limited common understanding of the concept of capacity building (what it means and entails); ● Lack of capacity at the AU level to monitor the extent to which it complies with the different decisions it has committed to implement; ● Disconnect (no clear strategic and results-based links) between the AU-partners dialogue at higher political level and its implementation at technical level; ● Lack of adequate coordination between partners; ● Lack of monitoring mechanisms allowing the AU and its partners to regularly assess the relevance, efficiency and effectiveness of their partnership;					
 Specific Objective 5 Policy and strategic dialogue within APSA partnerships are effective					
Outputs	Outputs Indicators	Strategies/Activities	Specific Objective Indicators	Sources of verification	Assumptions
Output 5.1 The AU and its partners, as well as each REC/RM and its partners, share a common understanding of the concept of partnership	● Existence of a partnership strategy document that highlights guiding principles and expected results from engaging into partnership; ● Evidence that this strategy document highlights and clarifies key partnership components and concepts (mutual accountability, transparency, etc.) ● Agreement between the AU and its partners to use this strategic document as a basis for future partnership.	● Dialogue sessions between AU and partners on the content of the strategy document and on the most appropriate process leading to its conception; ● Dialogue sessions between RECs/RMs and their partners on the content of the strategy document and on the most appropriate process leading to its conception ● Drafting of the strategy document	● Evidence of institution to institution (AU-RECs/RMs-EU-UN) common policy dialogue; ● Evidence of joint reports based on results; ● Evidence of AU and RECs/RMs quality/ results-based and timely financial and narrative reports to their partners; ● No/limited evidence of conflicts/tensions between AU and partners;	● Reports on policy dialogue ● Narrative reports	● Partners are willing to engage in constructive assessment of previous partnership periods; ● Decision to embark on such a process is supported by different decision-making levels within each institution;
Output 5.2 The AU and its partners, as well as each REC/RM and its partners, share a common understanding of the concept of capacity building	● Existence of a capacity building policy document common to the AU and all partners; ● Evidence that this capacity building document clearly highlights the expected results and the strategies to be implemented in order to increase the probability of achieving these results; ● Existence of an agreement between the AU and its partners to use this strategy document as a basis for capacity building support.	● Dialogue sessions between AU and partners on the content of the strategy document and on the most appropriate process leading to its conception; ● Drafting of the strategy document		● Minutes from AU-partners meetings; ● Strategy document; ● Agreement document	● Partners are open to use a common capacity building strategy document. Different decision-making levels within each institution support this decision. ● Partners are willing to engage in constructive assessment of previous partnerships;
					
					

Output 5.3 The AU has put in place an internal monitoring system that allows for following-up on the different decisions it has committed to implement	• The monitoring system clearly highlights the different types of information that need to be collected, documented and analysed; • The monitoring system establishes clear responsibilities for performing monitoring tasks; • The monitoring system is supported by management decision-making processes	• Development of the monitoring system; • Management decision to allocate staff to specific monitoring functions; • Common AU-partners results-monitoring meetings (twice a year)	• Monitoring document, monitoring data, data analysis; • Management decision • Minutes from monitoring meetings	• There is a clear management support (at different organisational levels within the AU) for the systematic use of the monitoring system; • Presence of individual, organisational and institutional capacities within the AU to systematically use the monitoring system;
Output 5.4 Disconnect between different AU-partners dialogue levels addressed	• Formulation of clear strategic and results-based links between the AU-partners dialogue at higher political level and its implementation at technical level	• Strategic meetings between AU and partners gathering high level representatives and technical staff;	• Minutes from dialogue meetings between AU and partners at technical levels	• Partners are willing to engage in such a dialogue
Output 5.5 The AU and partners have jointly developed and agreed on harmonised and aligned partnership tools	• Evidence of harmonised and aligned partners' financial and technical support on AU programme calendars; • Existence of an agreement on one common reporting template among partners;	• Dialogue meetings between AU and partners; • Development of harmonised programme support plan covering the roadmap timeframe;	• Minutes from meetings • Programme support plan	• Partners are willing to engage in such a dialogue
Problem definition 6 No financial ownership of APSA, high dependency on donors and international partners due to 2 main reasons: • Member States' contribution to Peace Fund is low; • Limited additional funding from alternative sources.				
Specific Objective 6 Financial ownership of APSA increased and dependency on donors and international partners decreased substantially	Specific Objective 6 Indicators • Evidence of increased revenues into the Peace Fund and similar regional funding mechanisms • Evidence of increased AU operational budget from Member States • Evidence of increased AU programme budget from Member States • Evidence of increased AU PSO budget from Member States • Evidence of increased funds emanating from private sector	Sources of verification • AU operational budget • AU programme budget • AU PSO budget	Assumptions • Member States comply with AU Assembly decisions • Preparedness of Member States to transfer these additional sources of funding to the Union • Capacities in Member States to collect the additional sources of funding	

Outputs	Outputs Indicators	Strategies/Activities	Sources of verification	Assumptions
Output 6.1 The Article 21(4) of the PSC Protocol on the establishment of a Revolving Trust Fund with the Peace Fund is made operational	• Evidence of clear guidelines for the Resource Mobilization Committee • Decisions/strategies suggested by the Committee • Evidence of revised regulations of the Peace Fund • Existence of relevant targets	• Facilitating resource mobilization by Member States through the implementation of §8(5) of the PSC Protocol and the conclusions of the retreat of the PSC on working methods (5-7 July 2007) on the establishment of a Resource Mobilization Committee • Implementing AU Assembly Dec. 578 (XXV) on targets for the new scale of assessment	• Guidelines • Minutes from Resource Mobilization Committee	• Member States comply with AU Assembly decisions
Output 6.2 The AU Assembly Decision 561 (XXIV) on alternative sources of funding is made operational	• Evidence of detailed annual budget monitoring • Evidence of recommendations to adjust the budget when and where necessary • Evidence of recommendations and strategies to access funds from private sector and extraction industries	• Publishing a detailed AU budget (including revised or amended versions) as part of the AU Assembly documentation • Developing a detailed annual activity plan of the programmes/projects to be funded from the Peace Fund • Introduction of a robust annual review mechanism • Commission expert study on fundraising from private sector and resource-based extraction industries	• Budget publication • Annual plans • Assessment reports • Conclusions of the expert study	• Strong AUC leadership and coordination • Member States compliance with AU Assembly decisions • Consultation with Ad Hoc Ministerial Committee

