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8458/19

ACP 41  
RELEX 378  
FIN 288  
COAFR 77  
CFSP/PESC 284  
ONU 52

## VERMERK

Absender:	Generalsekretariat des Rates
Empfänger:	Delegationen
Nr. Vordok.:	8457/19
Betr.:	Aktionsprogramm 2019–2020 für die Friedensfazilität für Afrika

1. Der Ausschuss der Ständigen Vertreter hat am 17. April 2019 das Aktionsprogramm 2019-2020 für die Friedensfazilität für Afrika mit qualifizierter Mehrheit gemäß Artikel 8 Absatz 3 des Internen Abkommens zur Errichtung des 11. EEF<sup>1</sup> genehmigt.
2. Gemäß Artikel 15 der Verordnung über die Durchführung des 11. EEF<sup>2</sup> kann das beigefügte Aktionsprogramm von der Kommission angenommen werden, sobald der AKP-Botschafterausschuss den Antrag der Afrikanischen Union<sup>3</sup> gebilligt hat.

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<sup>1</sup> Internes Abkommen zwischen den im Rat vereinigten Vertretern der Regierungen der Mitgliedstaaten der Europäischen Union über die Finanzierung der im mehrjährigen Finanzrahmen für den Zeitraum 2014 bis 2020 vorgesehenen Hilfe der Europäischen Union im Rahmen des AKP–EU-Partnerschaftsabkommens und über die Bereitstellung von finanzieller Hilfe für die überseeischen Länder und Gebiete, auf die der vierte Teil des Vertrags über die Arbeitsweise der Europäischen Union Anwendung findet (ABl. L 210 vom 6.8.2013, S. 1).

<sup>2</sup> Verordnung (EU) 2015/322 des Rates vom 2. März 2015 über die Durchführung des 11. Europäischen Entwicklungsfonds (ABl. L 58 vom 3.3.2015, S. 1).

<sup>3</sup> Dok. ST 8445/19.

**2019-2020 Action Programme of the African Peace Facility**

<b><u>MULTIANNUAL<sup>4</sup> PROGRAMME/MEASURE</u></b>		
This document constitutes the multiannual work programme in the sense of Article 110(2) of the Financial Regulation and action programme/measure in the sense of Articles 2 and 3 of Regulation N° 236/2014.		
<b>1. Title/basic act/ CRIS number</b>	2019-2020 Action Programme of the African Peace Facility  CRIS number: FED/2018/041-568  financed under the European Development Fund (EDF)	
<b>2. Zone benefiting from the action/location</b>	African continent	
<b>3. Programming document</b>	2019-2020 Action Programme of the African Peace Facility	
<b>4. Sustainable Development Goals (SDGs)</b>	SDG 16: "Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels"	
<b>5. Sector of intervention/ thematic area</b>	Peace and Security	DEV. Assistance: YES <sup>5</sup> (results 1 and 2)

<sup>4</sup> Within the maximum contribution of the European Union, the authorising officer responsible may adjust the allocation to the respective budgetary years subject to the availability of the commitment appropriations.

<sup>5</sup> Official Development Assistance is administered with the promotion of the economic development and welfare of developing countries as its main objective.

<b>6. Amounts concerned</b>	<p>Total estimated cost: EUR 800 144 806.45</p> <p>Total amount of EDF contribution: EUR 800 000 000<sup>6</sup></p> <p>The Commission will be entrusted with the responsibility of managing the contribution for an amount of EUR 75 522.39 transferred by the Grand Duchy of Luxembourg after the signature of the corresponding transfer agreement, in accordance with the procedures applicable to the expenditure of the European Union in particular EDF.</p> <p>The Commission will be entrusted with the responsibility of managing the contribution for an amount of EUR 69 284.06 transferred by the Czech Republic after the signature of the corresponding transfer agreement, in accordance with the procedures applicable to the expenditure of the European Union in particular EDF.</p>
<b>7. Aid modalities and implementation modalities</b>	<p>Project Modality</p> <p><b>Direct management</b> through:</p> <ul style="list-style-type: none"> <li>- Grants</li> <li>- Procurement</li> </ul> <p><b>Indirect management</b> with the African Union Commission, the United Nations Office of the High Commissioner for Human Rights, the United Nations Secretariat, the United Nations Office for Project Services, the United Nations Support Office in Somalia and the Member State Organisation(s) to be selected in accordance with the criteria set out in section 5.4.3.2.</p>

<sup>6</sup> In addition, EUR 14 860 000 will be allocated for support expenditure incurred by the Commission.  
This amount does not form part of the Action Programme.

<b>8 a) DAC code<sup>7</sup></b>	15220			
<b>b) Main Delivery Channel</b>	African Union (excluding peacekeeping facilities) – 47005			
<b>9. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Participation development/good governance	<input type="checkbox"/>	X	<input type="checkbox"/>
	Aid to environment	X	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality and Women's and Girl's Empowerment	X	<input type="checkbox"/>	<input type="checkbox"/>
	Trade Development	X	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	X	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	X	<input type="checkbox"/>	<input type="checkbox"/>
<b>10. Global Public Goods and Challenges (GPGC) thematic flagships</b>	N/A			

<sup>7</sup> Applicable to specific objectives 1 and 2.

## **SUMMARY**

*This Action Programme contributes to the peace and security component of the Africa-EU Partnership through the implementation of actions funded by the African Peace Facility under the European Development Fund during the period 2019-2020.*

*The 2016 EU Global Strategy defines peace and security as one of the vital interests of the EU, also stating that security within Europe is strongly linked to peace in neighbouring and surrounding regions. Furthermore, the renewed European Consensus on Development<sup>8</sup>, adopted in 2017, establishes "peace" as one of its five focus areas and reaffirms the EU's commitment to a rules-based global order, with multilateralism at its core.*

*The African continent continues to be marked by violent conflicts that, in addition to negatively affecting the lives of many women, men and children and driving forced displacement, hamper economic and social development. The promotion of peace and security in Africa is therefore critical both to the sustainable development of the continent and the security interests of the EU. As evidenced by the Memorandum of Understanding on Peace, Security and Governance signed in 2018, the African Union (AU) and the EU are committed to working jointly towards this goal.*

*This Action Programme promotes just, peaceful and inclusive societies for sustainable development (SDG 16) by supporting African-led conflict prevention and management efforts, thus reducing all forms of violence, including sexual abuses, deaths, and forced displacement, as well as obstacles to economic and social development caused by violent conflicts on the continent. It will achieve the overall objective of reducing the incidence, duration and intensity of violent conflicts in Africa by improving conflict prevention, management and resolution structures and mechanisms of the African Peace and Security Architecture (APSA) (Specific Objective 1); conflict prevention and early response by the African Union Commission (AUC) and the Regional Economic Communities / Regional Mechanisms (RECs/RMs) (Specific Objective 2); and conflict management through the deployment of peace support operations by the AUC and African regional organisations (Specific Objective 3).*

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<sup>8</sup> OJ C 210 of 30.6.2017.

*The Action Programme will be implemented primarily through indirect management with the AU, as well as grants or indirect management agreements with RECs/RMs, the G5 Sahel, EU Member States agencies, the United Nations Secretariat, the United Nations Office of the High Commissioner for Human Rights, the United Nations Office for Project Services and the United Nations Support Office in Somalia. Service contracts will be concluded for technical assistance, communication, audit and evaluation. Furthermore, an administrative arrangement with the JRC is foreseen to provide technical support to the AU on its continental conflict early warning system.*

## **1 CONTEXT ANALYSIS**

### **1.1 Context Description**

For the past three years, the number of state-based conflicts and overall fatalities caused by organised violence has been decreasing globally after a peak in 2014. However, this positive trend is partly counterbalanced by a spike in the number of active conflicts involving non-state actors and resulting fatalities, driven in particular by conflicts in sub-Saharan Africa.<sup>9</sup> While some successes can be noted, the overall situation on the continent remains concerning.<sup>10</sup>

The negative impact of violent conflict in Africa on the fight against poverty and the continent's prospects for sustainable economic and social development is significant. Moreover, while violent conflict results in more direct deaths of men than women, there is scientific evidence pointing to the conclusion that conflict reduces women's life expectancy disproportionately to men's, as women are more affected by indirect effects such as increased food prices, weakened or collapsed health care systems, displacement, and sexual and gender-based violence.<sup>11</sup> Thus, the prevention and management of violent conflict has a crucial bearing on efforts to achieve gender equality. Violent conflict also constitutes the main driver of forced displacement, currently affecting more than 68 million people globally. While about two thirds of displaced persons remain within their country of origin, the remainder of refugees puts pressure on host communities predominantly situated in neighbouring countries often themselves affected by development-related challenges and fragility.<sup>12</sup>

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<sup>9</sup> Pettersson, Therése, Eck, Kristine: Organized Violence, 1989-2017, In: Journal of Peace Research 55(4), 18 June 2018, p. 535-547.

<sup>10</sup> International Institute for Strategic Studies: Armed Conflict Survey, Vol. 4, 2018.

<sup>11</sup> Plümper, Thomas, Neumayer, Eric. (2005): The unequal burden of war: The effect of armed conflict on the gender gap in life expectancy. International Organization, 60, p.723-754.

<sup>12</sup> UNHCR: Global Trends – Forced Displacement in 2017 (<http://www.unhcr.org/5b27be547>) (31/08/2018).

According to the Office of the United Nations High Commissioner for Refugees (UNHCR), 7 out of the 10 main countries of origin of refugees are African states.<sup>13</sup> The effective management of ongoing violent conflicts and targeted activities preventing the escalation of emerging crises can therefore contribute to the realisation of Africa's potential for sustainable development, as well as positively influence the global forced displacement picture.

## 1.2 Policy Framework (Global, EU)

Within the global policy framework for development provided by the Sustainable Development Goals (SDGs), SDG 16 *aims at the establishment of just, peaceful and inclusive societies for sustainable development*. In this context, the resolve of African partners to promote peace and security on the continent has been supported by the EU from the outset, both politically and financially. The implementation of the Joint Africa-EU Strategy (JAES) is focused on peace and security as one of its four priority areas. The Memorandum of Understanding on Peace, Security and Governance, signed in May 2018, following the November 2017 AU-EU Summit in Abidjan, puts the AU-EU partnership in this area on a more solid and structured basis.<sup>14</sup>

In its essence, the foundation of the EU lies in efforts to overcome divisions and promote peace. Article 21 of the Lisbon Treaty establishes the aims to preserve peace, prevent conflict and strengthen international security, as well as to consolidate and support democracy, the rule of law, Human Rights and the principles of international law as core objectives of EU external action. The EU Global Strategy<sup>15</sup> defines peace and security as one of the vital interests of the EU, linked to both internal and external security: "Our security at home entails a parallel interest in peace in our neighbouring and surrounding regions. It implies a broader interest in preventing conflict, promoting human security, addressing the root causes of instability and working towards a safer world". Within this framework, the Global Strategy adopts an integrated approach to external conflicts and crises as one of the five priorities of EU external action. This requires the EU to intervene at all stages of the conflict cycle by acting promptly on prevention, responding responsibly and decisively to crises, investing in stabilisation, and avoiding premature disengagement.

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<sup>13</sup> In order of magnitude of the total number of refugees, these are South Sudan, Somalia, Sudan, Democratic Republic of Congo, Central African Republic, Eritrea, Burundi.

<sup>14</sup> Memorandum of Understanding on Peace, Security and Governance between the African Union and the European Union, 23 May 2018.

<sup>15</sup> Shared Vision, Common Action: A Stronger Europe. A Global Strategy for the European Union's Foreign and Security Policy, June 2016.

In line with the 2030 Agenda for Sustainable Development, the renewed European Consensus on Development<sup>16</sup>, adopted in 2017, establishes "peace" as one of its five focus areas, underlining that "peacebuilding [is] essential for sustainable development and should take place at all levels, from global to local, and at all stages of the conflict cycle, from early warning and prevention to crisis response and stabilisation." The Consensus also underlines that the "EU and its Member States will address all aspects of preventing and responding to sexual and gender-based violence in conflict and post-conflict situations, and will support women as positive agents for conflict prevention, conflict resolution, relief and recovery, and building sustainable peace".

The EU recognises that it cannot manage violent conflicts alone, as sustainable peace can only be achieved through comprehensive agreements rooted in broad, deep and durable regional and international partnerships. The Consensus therefore reaffirms the EU's commitment to a rules-based global order, with multilateralism at its core, thus laying the foundation for addressing security challenges in cooperation with the AU, regional and international organisations.

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<sup>16</sup> Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission (2017/C 210/01): The new European Consensus on Development - "Our World, Our Dignity, Our Future", 7 June 2017.



The African Peace Facility (APF) is the main tool for implementing the AU-EU cooperation on peace and security and has been financed under the European Development Fund (EDF) for a total envelope of more than EUR 2.7 billion since 2004. In parallel to the EU's political backing of conflict prevention and management efforts on the African continent, the APF provides support to the operationalisation of the African Peace and Security Architecture (APSA), support to conflict prevention and early response efforts through the Early Response Mechanism (ERM), as well as substantial and predictable funding to African-led Peace Support Operations (PSOs). The APF is a pan-African instrument and financial support therefore has to be requested by and provided to the AU and/or the African Regional Economic Communities (RECs) and Regional Mechanisms (RMs) included in the APSA<sup>17</sup>, and/or sub-regional organisations carrying out a peace and security operation with an AU Peace and Security Council (AU PSC) mandate.

### **1.3 Public Policy Analysis of the partner region**

The promotion of peace and security is one of the key objectives formulated in the AU Constitutive Act of 11 July 2000, which highlights the link between security and development in its preamble. Consequently, the Protocol Relating to the Establishment of the AU PSC established the APSA in 2002, as a continental framework within which the African Union Commission (AUC), RECs and RMs contribute to the prevention, management and resolution of conflicts in Africa.<sup>18</sup> The APSA furthermore involves other key institutions such as the AU PSC, a Panel of the Wise, a Continental Early Warning System (CEWS), an African Standby Force and a Peace Fund. The AU has invited the EU to participate in the Peace Fund as one of only two non-African members of the governing board, the other being the United Nations (UN).

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<sup>17</sup> The following organisations are currently part of the APSA based on the signature of a Memorandum of Understanding with the AU: the Arab Maghreb Union (AMU), the Economic Community of Sahelo-Saharan States (CEN-SAD), the Common Market of East and Southern Africa (COMESA), the East African Community (EAC), the Eastern Africa Stand-by Force (EASF), the Economic Community of Central African States (ECCAS), the Economic Community of West African States (ECOWAS), the Inter-Governmental Authority for Development (IGAD), the North Africa Regional Capability (NARC), and the South African Development Community (SADC).

<sup>18</sup> Protocol relating to the Establishment of the Peace and Security Council of the African Union. Adopted by the 1st Ordinary Session of the Assembly of the African Union. Durban, 9 July 2002.

The strategic framework for the socio-economic transformation of the continent over the next 50 years is provided by the AU's Agenda 2063.<sup>19</sup> Its aspiration for "a peaceful and secure Africa" aims at putting in place functional mechanisms for peaceful conflict prevention and management by 2020. This commitment has been developed further in the AU initiative "Silencing the guns by 2020", adopted in 2014.

The APSA Roadmap 2016-2020 paves the way for future collaboration between the AU, the RECs and the RMs in achieving the goals of the "Silencing the guns by 2020" initiative. It identifies five strategic priorities: 1) conflict prevention, with a focus on early warning systems and preventive diplomacy; 2) crisis and conflict management, with a focus on mediation and on the African Standby Force; 3) post-conflict reconstruction and peacebuilding, including Security Sector Reform and Disarmament, Demobilisation and Reintegration of ex-combatants; 4) strategic securities issues, such as the fight against terrorism, the proliferation of small arms and light weapons, and illicit financial flows; and 5) coordination and partnerships within APSA structures, among the APSA members and with other international actors. The AU is considering to review this APSA Roadmap in 2019 or 2020; however details on the scope and aim of this review are not yet known. In parallel, the AU Assembly endorsed an "AU Master Roadmap of Practical Steps to Silence the Guns in Africa by the Year 2020"<sup>20</sup>, a political rather than solely operational document with a wider scope, going beyond peace and security-related issues.

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<sup>19</sup> African Union: The Agenda 2063 - The Africa we want. Agreed in the Solemn Declaration on the 50th Anniversary of the Organisation of African Unity/African Union adopted by African Heads of States and Governments, 25 May 2013.

<sup>20</sup> Assembly/AU/Dec.630(XXVIII). Assembly of the African Union, Twenty-Eight Ordinary Session, 30-31 January 2017, Addis Ababa, Ethiopia.

To reduce the AU's dependence on external donors, AU Member States have made a commitment in principle to increase their contribution to the AU budget. This includes the July 2015 pledge to fund 25% of the AU budget for PSOs by 2020. In July 2016, Member States agreed on a 0.2 % levy on eligible goods imported to Africa,<sup>21</sup> which has the potential to generate over EUR 1 billion per year.<sup>22</sup> Implementation of the necessary legislation and practical measures is progressing, albeit at different speeds across AU Member States.<sup>23</sup> In addition, the AU is actively engaged with the UN to secure the remaining 75% of funding for PSOs not foreseen to be covered by AU Member States at this point.

The January 2017 AU Summit furthermore adopted a comprehensive reform agenda spearheaded by Rwandan President Paul Kagame. It proposes a reduction of the AU's core areas of pan-African competence to peace and security, political affairs, the establishment of a continental free trade area, and the representation of Africa on a global level, as well as a clear division of labour between the AU, its Member States, and the RECs and RMs.<sup>24</sup> The November 2018 extraordinary Summit on AU reforms adopted an initial set of measures, including the merging of the Political Affairs and the Peace and Security Departments of the AUC, and the intention to have a single Commissioner responsible for these highly intertwined issues.<sup>25</sup> During the November 2018 extraordinary Summit, the AU Peace Fund was officially launched, with the objective to revitalise it.

The initiatives outlined above show the importance AU Member States attach to peace and security in Africa, as well as to the reduction of financial dependence on external donors. However, the currently still insufficient provision of funds by AU Member States, as well as the absence of an agreement on UN funding for African-led PSOs mean that relevant actions in the field of peace and security will continue to depend on external financial support for the foreseeable future.

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<sup>21</sup> Assembly/AU/Dec.605(XXVII). Assembly of the African Union, Twenty-Seventh Ordinary Session, 17-18 July 2016, Kigali, Rwanda.

<sup>22</sup> International Crisis Group: Time to Reset African Union-European Union Relations. Africa Report no. 255. 17 October 2017.

<sup>23</sup> Assembly/AU/2(XXXI). Assembly of the African Union, Thirty-First Ordinary Session, 1-2 July 2018, Nouakchott, Mauritania.

<sup>24</sup> Assembly/AU/Dec/635(XXVIII). Assembly of the African Union, Twenty-Eight Ordinary Session, 30-31 January 2017, Addis Ababa, Ethiopia.

<sup>25</sup> Ext/Assembly/AU/Dec.1-4(XI). Assembly of the African Union, Eleventh Extraordinary Session, 17-18 November 2018, Addis Ababa, Ethiopia.

## 1.4 Stakeholder analysis

Direct beneficiaries and duty bearers of this Action Programme are the AU, the RECs/RMs, and any sub-regional organisations carrying out a peace and security operation with an AU PSC mandate. Right holders are the people living in African states ultimately less affected by conflicts and thus living in safer environments. People in Europe will also benefit from a safer and more stable African continent, as stability in Europe cannot be dissociated from stability in the European neighbourhood and beyond.

The following are the most relevant stakeholders in the context of the APF:

The AU Peace and Security Council (AU PSC) is the primary actor in the area of peace and security on the African continent as foreseen by the 2002 AU PSC Protocol. It is the standing decision-making organ for the prevention, management and resolution of conflicts. Its key tasks are to provide political leadership, to coordinate the other components of the APSA, and to generate relevant action. It is composed of representatives of AU Heads of States. While the PSC has affirmed its leadership over the years, there are still some challenges and gaps in the operationalisation of the PSC Protocol. Specifically, there is a need to operationalise the subsidiary bodies of the PSC. Furthermore, the link between the PSC and the CEWS could be strengthened. To this end, the practice of including horizon-scanning sessions in the PSC agenda could be institutionalised. The PSC approach to mediation and peacebuilding could go beyond the designation and deployment of mediators or special envoys, and could benefit from a clearer mediation strategy, including on the tools to be used.

The AU Commission Peace and Security Department (AU PSD) provides support to the AU PSC and to the AU Commission as a whole and can be understood as the "engine" of the APSA. The PSD has set up liaison offices in countries affected or at risk of being affected by conflict. These liaison offices contribute to conflict analysis, provide conflict early warning, and support the implementation of conflict management activities. While the PSD's capacities have been significantly increased over the years, including through EU support, the department is weakened by its high turnover and slow recruitment processes. The current structure of the PSD is rigid and remains an obstacle to its reform. The aforementioned AU reforms, including related to AUC administration and the foreseen merger of the PSD and the Department of Political Affairs, present an opportunity for improvements in this regard.

The Panel of the Wise (PoW), the Continental Early Warning System (CEWS) and the African Standby Force (ASF) are also foreseen to play a critical role in the AU's conflict-prevention and conflict-management activities as part of the APSA, although they are not yet fully operational. They will therefore be supported under the capacity-building component of this Action Programme (Specific Objective 1). Although the AU special technical committee on defence, safety and security declared the ASF fully operational in 2016 following the AMANI Africa II field training exercise in South Africa, the Force has never been deployed. Aspects of the original concept for the ASF need to be updated in view of lessons learnt from AU missions and operations and related to new security threats like terrorism and transnational crimes, as well as in view of the emergence of new sub-regional *ad hoc* coalitions such as e.g. the G5 Sahel.

The RECs and RMs are key partners within the APSA. Their relationship with the AU was established in a Memorandum of Understanding in 2008, and their role regarding peace and security has been officially recognised in the AU PSC Protocol. While they are formally independent, a high level of cooperation is sought between the RECs/RMs and the AU, and several APSA components, such the ASF, depend on regional structures for their functioning. Consequently, the RECs and RMs, as well as sub-regional organisations carrying out a peace and security operation with an AU PSC mandate, are also entitled to receive APF funding with AU endorsement. It has become clear that applying the principle of subsidiarity between the AU and RECs/RMs does not always produce a clear division of labour. The AU and RECs/RMs rely more on the notions of comparative advantage and complementarity, as well as on their willingness to actually work together. The ongoing AUC assessment of its relationship with the RECs should lead to better complementarity and coordination in the future.

The UN is a key stakeholder regarding peace and security in Africa, both as a global body implementing its own Peacekeeping Operations on the continent, and as an important contributor to African-led PSOs and the AU budget in the area of peace and security. There are strong linkages between AU and UN operations, with UN missions often taking over from those implemented by the AU. APF-funded PSOs are consistent with UN principles and objectives, and UN Security Council mandates. UN bodies and agencies may also function as implementing partners in the context of specific PSOs. International responses to conflict situations in Africa, e.g. in Somalia, Mali and the Central African Republic, have highlighted the increasing triangular cooperation between the UN, the AU and the EU. Paying greater attention to the way in which the three organisations shape and implement their actions, both individually and collectively, will be key if existing gaps and overlaps are to be addressed, responses comprehensive, and timely action to be taken.

### **1.5 Problem analysis/priority areas for support**

Over the last decades, Africa has experienced unprecedented levels of economic growth. However, instability and insecurity in some states and regions remain highly concerning, hampering sustainable social and economic development and threatening the security of local populations. An effective response strategy has to be led by regional actors with a comprehensive understanding of the key drivers of conflict in each particular context, benefitting from effective analytical frameworks and tools. The progressive development of the APSA in the past 15 years has provided an agreed framework at continental and regional level that leaves African institutions such as the AU, RECs and RMs well placed to address conflicts on the continent, which can be complemented by sub-regional organisations carrying out peace and security operations with an AU PSC mandate.

The intractability and protracted nature of most conflicts in Africa once they erupt into violence demonstrates that as much effort as possible needs to go into preventing their escalation. The most effective way to prevent societies from descending into crisis, including violent conflict, is to foster resilience through inclusive and sustainable development. Beyond this, more targeted measures of conflict prevention and management have to be employed in a timely manner whenever necessary and for as long as needed. The benefit of such preventive action seems self-evident; yet both spending and efforts on prevention currently represent only a fraction of those related to crisis response and reconstruction. A shift away from managing and responding to crises and toward preventing conflict sustainably, inclusively, and collectively can save lives and greatly reduce costs.<sup>26</sup>

This Action Programme aims to support the AU in its ongoing shift from reactive to preventive strategies emphasising the primacy of political and negotiated results over coercive solutions. The operationalisation of APSA has included the establishment of the CEWS and a Mediation Support Unit within the AUC, as well as relevant structures within the RECs and RMs. To ensure the effectiveness of these structures, there is a need to guarantee immediate and flexible funding so that preventive diplomacy and mediation initiatives are timely and proactive, and training and support are available for mediators and special envoys involved in preventive measures.

Despite this increased focus on conflict prevention measures, conflict management to adequately respond to erupting violent conflict and ensure a transition to sustainable peace is still necessary, and will continue to demand the majority of the available funding under this Action Programme, due to the significantly higher cost associated with this type of actions. The APSA provides appropriate decision-making mechanisms to mandate African-led PSOs. Through the ASF, it will also provide the necessary tool to carry them out once the hurdles to the ASF's full operationalisation caused by insufficient commitment from AU Member States and limited and inconsistent capacities at both the strategic and operational level are overcome.

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<sup>26</sup> World Bank Group and United Nations: Pathways for Peace - Inclusive Approaches to Preventing Violent Conflict, 2018.

RECs and RMs constitute the building blocks of the APSA, collaborating closely with the AUC to ensure a common and tailored African response to violent conflict and crises is delivered. However, several factors undermine the APSA's overall efficiency:

- As outlined above, a number of its components are not yet fully operational.
- Cooperation among the APSA organisations, i.e. the AU, RECs, and RMs, remains weak, and its underlying principles of subsidiarity, complementarity and comparative advantage need to be applied coherently including, as applicable, in line with Article 16 of the AU PSC Protocol. Proposed recommendations put forward in the Kagame report on the reform of the AU highlight the need for the AU to focus its responsibilities, and to establish a clear division of labour and effective collaboration between the AU and the RECs/RMs.<sup>27</sup> The AU Assembly has published an issues paper presenting the main challenges and a roadmap leading towards the first Summit-level Coordination Meeting of AU and RECs leadership foreseen for July 2019.<sup>28</sup>
- Given the evolving nature of transnational threats and the resulting conflict dynamics, RECs/RMs are not always the most relevant actors for intervention since countries affected by a crisis might belong to different regional organisations. As a consequence, African states occasionally decide to coordinate relevant actions in an *ad hoc* manner, leading to the emergence of new sub-regional organisations carrying out peace and security operations with an AU PSC mandate. Although these are not formally part of the APSA, they manage PSOs which are endorsed by the AU, as is currently the case for the Multinational Joint Task Force against Boko Haram (MNJTF) under the auspices of the Lake Chad Basin Commission, and the G5 Sahel Joint Force. This creates an additional layer and challenges regarding coordination with and/or integration into the APSA.<sup>29</sup>

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<sup>27</sup> H.E. Paul Kagame: The Imperative to strengthen our Union. Report on the proposed recommendations for the institutional reform of the African Union, 29 January 2017, p.11.

<sup>28</sup> Assembly/AU/2(XXXI). Assembly of the African Union, Thirty-First Ordinary Session, 1-2 July 2018, Nouakchott, Mauritania.

<sup>29</sup> See Communiqué of the 733rd AU PSC meeting "on the cooperation between the AU and ad hoc sub-regional peace arrangements, with particular focus on the Multi-National Joint Task Force (MNJTF) against Boko Haram and the Joint Force of the Group G5-Sahel", 13 November 2017.



## 2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
1. AUC and RECs/RMs financial management is not strong enough to pass the EC Institutional Assessment ("pillar assessment").	M	<p>AUC-EC Aide-Mémoire signed April 2016 and amended in May 2017.</p> <p>Regular AUC-EC Aide-Mémoire Steering Committees to follow up on implementation of Aide-Mémoire in place.</p> <p>Remedial measures included in all contracts with the AUC.</p> <p>Recognised progress in 2018 leading to an AUC pillar assessment to be undertaken in 2019.</p> <p>No indirect management with RECs/RMs that have not passed the pillar assessment.</p>
2. Insufficient funds for funding demands.	H	<p>EU support to each PSO capped at a maximum of 80% of the 2015 UN rate for troop stipends.</p> <p>If necessary, focus of funding on the most critical PSOs.</p> <p>Exit strategies for all PSOs in place.</p> <p>EU diplomatic support to African efforts towards fund diversification (UN, non-EU donors).</p> <p>EU support to AU initiatives for financial sustainability, in particular related to the revitalised AU Peace Fund.</p> <p>Coordination mechanisms with other donors to ensure efficient use of donor funding.</p>

3. Limited effectiveness of PSOs in achieving goals formulated in the respective Strategic Concept of Operations (CONOPS)	M	<p>Definition of clear rules of engagement, strategic objectives, etc. as part of the Strategic CONOPS. When needed, prior Technical Assistance will be made available to assist the AU/RECs/RMs in this process.</p> <p>Targeted capacity-building support to strengthen Mission Support Units.</p> <p>Increased field monitoring of PSOs.</p> <p>External gender-sensitive and right-based approach evaluations when relevant / feasible.</p>
4. PSOs not conducted in compliance with Human Rights and international humanitarian law (HR/IHL), as well as accepted norms on conduct and discipline.	H	<p>Support to AU capacities at HQ and field level to establish and implement a continental HR/IHL and conduct and discipline compliance framework, integrating a gender-sensitive approach.</p> <p>Ensure that existing complaint mechanisms are fully functional and accessible to individuals, communities and/or civil society organisations that are negatively affected by PSOs.</p>
<b>Assumptions</b>		
<p>Peace and security remains a priority area of EU-AU/RECs/RMs cooperation.</p> <p>The APSA remains the framework within which challenges to peace and security in Africa are addressed.</p> <p>The AUC continues to implement the Aide-Mémoire on strengthening financial management.</p> <p>The AUC remains committed to improving the HR/IHL compliance of African-led PSOs.</p>		

### 3 LESSONS LEARNT AND COMPLEMENTARITY

#### 3.1 Lessons learnt

An external evaluation<sup>30</sup> of the APF carried out in 2017 found that the APF underpinned the AU's ability to respond to peace and security crises on the continent, and had made an overall positive contribution to the implementation and functioning of the APSA.

Regarding APF support to PSOs, it concluded that the EU plays a substantial role as an interlocutor and stakeholder due to the scale, predictability and long-term commitment of its funding. While this comes with a risk of overdependence on EU funds, thus limiting the development of exit strategies and involvements of additional donors, the evaluation noted that the EU decision to reduce APF support to troop stipends to 80 % of the UN rate in 2015 had accelerated the reflection on alternative and sustainable African sources of finance.<sup>31</sup> This ceiling, which has been applied to every PSO since January 2016, will therefore continue to be applied to all PSOs funded under this Action Programme.

Concerning APF support to the APSA, the evaluation found that results were poor. APF-funded activities were fragmented rather than part of an overarching strategy. The evaluation recommended to maintain APF support to the APSA, but called for 1) a strengthened dialogue with African partners; 2) a more selective and focused support programme; 3) an incentive-based approach to improve performance; and 4) the prioritisation of capacity-building for PSO support structures at the AUC and relevant RECs/RMs within the ASF framework. The evaluation's recommendations will be incorporated in the next phase of the APSA Support Programme.

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<sup>30</sup> [https://ec.europa.eu/europeaid/evaluation-implementation-african-peace-facility-instrument-supporting-african-efforts-manage\\_en](https://ec.europa.eu/europeaid/evaluation-implementation-african-peace-facility-instrument-supporting-african-efforts-manage_en)

<sup>31</sup> Particip Consortium: Evaluation of the implementation of the African Peace Facility as an instrument supporting African efforts to manage conflicts on the continent, December 2017.

In September 2018, the Court of Auditors published a Special Report<sup>32</sup> on EU support to the APSA. It concluded that this support has shown poor results and needs refocusing. The Court made two main recommendations: 1) phasing out EU support to operational costs and linking support to the fulfilment of the AU's commitments to achieve financial independence; and 2) ensuring that interventions are results-based and better monitored to reduce delays in contracting and avoid retroactive financing. The report also called for a comparative analysis of available EU financing instruments to use them coherently. While it can be argued that the report insufficiently acknowledged the complex environment in which both the APSA and relevant EU support operate, thus diminishing the overall positive impact of the EU's support to the APSA, this Action Programme will aim to implement the recommendations made by the Court.

The 2017 external evaluation of the APF did not cover the design and implementation modalities of the Early Response Mechanism (ERM), which was evaluated in 2015. This evaluation indicated that the ERM might face an increased demand to support long-term actions, such as extended mediation efforts to address protracted and highly complex conflicts. This Action Programme therefore extends the maximum duration of ERM support to mediation and conflict prevention activities to 24 months.

The results of the Institutional Assessment ("pillar assessment") of the AUC carried out in 2015 highlighted that AUC's financial management systems required to be strengthened. In an Aide-Mémoire signed in 2016, the AUC and the Commission agreed on a number of measures to this end. A new Institutional Assessment is expected to take place in the second quarter of 2019, following the successful implementation of the activities foreseen in the Aide-Mémoire.

### **3.2 Complementarity, synergy and donor coordination**

In the context of the EU's Integrated Approach, violent conflict and crises are addressed through an array of external action instruments, which are complementary in their nature and approach.<sup>33</sup> The APF forms a key part of the implementation of this approach on the African continent, as evidenced e.g. in Somalia and the Sahel region, where APF-funded activities are part of wider EU regional and national strategies.

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<sup>32</sup> European Court of Auditors: The African Peace and Security Architecture: need to refocus EU support, Special Report 2018/20, Luxembourg: Publications Office of the European Union, 18 September 2018.

<sup>33</sup> Shared Vision, Common Action: A Stronger Europe. A Global Strategy for the European Union's Foreign and Security Policy. June 2016.

EU development cooperation instruments covering African countries, including the EU Emergency Trust Fund for Africa,<sup>34</sup> support projects promoting conflict prevention and enforcing the rule of law through capacity-building in the area of security and development, as well as law enforcement. They thus complement activities that the APF Action Programme will fund at continental and regional level.

The Regional Indicative Programmes (RIPs) can support the RECs with core and long-term institutional capacity-building, including for regional peace and security activities that are not of a military nature. All African RIPs under the 11<sup>th</sup> EDF include peace and security as a priority sector. Synergies and complementarities between the APF and the RIPs will be further promoted in support to the priorities identified in the 2016-2020 APSA Roadmap. EU staff dealing with peace and security matters, including in regional EU Delegations and in the EU Delegation to the AU, are working closely together as a community of practitioners, building on each other's experience to ensure more effective and complementary actions. Country-level National Indicative Programmes (NIPs) also provide significant support to conflict prevention, peacebuilding and post-conflict reconstruction in African countries.

Interlinkages with Common Security and Defence Policy (CSDP) operations in Africa, in particular EU Training Missions, provide opportunities to increase the impact of activities while avoiding a duplication of efforts. CSDP Missions also provide important complementarity and lessons learnt on the implementation of commitments on Human Rights and gender equality, including of UN Security Council Resolution 1325. Relevant links also exist with initiatives under the Instrument contributing to Stability and Peace (IcSP), in particular its component for Capacity-building in support of Security and Development, adopted in December 2017.<sup>35</sup> IcSP-funded activities at the national level can complement APF support, which is restricted to the continental and regional levels.

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<sup>34</sup> Commission Decision C(2015)7293.

<sup>35</sup> Regulation (EU) No 230/2014, OJ L77, 15.3.2014, p. 1.

Complementarity between this Action Programme and bilateral support provided by EU Member States to the AU and RECs/RMs will be ensured through regular exchanges of information, e.g. in relevant Council working groups. Furthermore, the use of the APF as a vehicle to channel financial contributions from EU Member States and third countries offers the potential of fully coordinating relevant support. Regarding the coordination with African partners, the AU partners' group on peace and security chaired by the EU Delegation to the AU, as well as EU Delegations to the RECs have an important role to play.

Finally, the EU is an active participant in relevant peace and security coordination committees within the UN system. Through the APF, the EU aims to build a wide-ranging coalition of African and international partners contributing to African efforts towards peace and security. This is complemented by relevant discussions in the trilateral format AU-EU-UN.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Overall objective, specific objective(s), expected outputs and indicative activities**

The **overall objective** of this APF Action Programme 2019-2020 is to reduce the incidence, duration and intensity of violent conflicts in Africa.

The **specific objectives** of this Action Programme are the following:

1. The conflict prevention, management and resolution structures and mechanisms of the African Peace and Security Architecture are improved.
2. Conflict prevention and early response by the AUC and the RECs/RMs are improved.
3. Conflict management through the deployment of peace support operations by the AUC and African regional organisations is improved.

The **expected outputs** and related **indicative activities** of this Action Programme are the following:

Specific Objective (S.O.) 1: The conflict prevention, management and resolution structures and mechanisms of the African Peace and Security Architecture are improved.

Expected outputs:

S.O.1 Output 1: Targeted outputs of the 2016-2020 APSA Roadmap are delivered<sup>36</sup>

S.O.1 Output 2: AUC-RECs/RMs coordination in the area of peace and security is improved

S.O.1 Output 3: A HR/IHL compliance framework applicable to all African-led PSOs is established

Indicative activities:

The APSA is the framework for the AUC and the RECs/RMs to address peace and security challenges in Africa. Strengthening its conflict prevention, management and resolution structures and mechanisms means ensuring that the APSA pillars are set up and functioning to carry out their tasks and deliver on their mandates, at both continental and regional level.

The APSA 2016-2020 Roadmap identifies five broad priority areas of intervention: conflict prevention, crisis and conflict management, post-conflict reconstruction and peacebuilding, strategic security issues, and coordination and partnerships. In the framework of this Roadmap, a specific sub-set of results to be funded will be defined jointly with African partners, while paying particular attention to the AU priorities for "Silencing the Guns by 2020".

As recommended by the Court of Auditors<sup>37</sup> and to increase its impact, APF support to the operationalisation of the APSA under this Action Programme will focus on a number of key objectives, be results-based and limit its coverage of operational costs. Moreover, the design of this support will be tailored to take into account the APSA operationalisation objectives already covered under the RIPS.

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<sup>36</sup> This expected output would also take into account the outcomes of a possible review of the 2016-2020 APSA Roadmap

<sup>37</sup> European Court of Auditors: The African Peace and Security Architecture: need to refocus EU support, Special Report 2018/20, Luxembourg: Publications Office of the European Union, 18 September 2018.

As recommended by the 2017 external evaluation of the APF and as part of the horizontal support to the APSA, specific funding should be provided to build capacities in the context of African-led PSOs. Consequently, particular attention will be paid to the gender and Human Rights dimension of the operationalisation of the APSA, and support will be provided to the AU and other relevant actors to establish a continental Human Rights and international humanitarian law (HR/IHL) compliance framework, pursuant to UN Security Council Resolution 2320 (2016) and the recommendations of Kaberuka Report,<sup>38</sup> applicable to all African-led PSOs. While *ad hoc* compliance frameworks have already been conceived within specific African-led PSOs, namely AMISOM and more recently the G5 Sahel Joint Force, the integration of Human Rights in African PSOs so far is not systematic and the existence of monitoring and accountability mechanisms still fragmented. With regard to PSOs carried out by RECs, Human Rights compliance frameworks still have to be put in place, taking into account developments at AU level. It is imperative for the EU that all future AU- and REC-led PSOs supported through the APF are conducted in accordance with international Human Rights law and international humanitarian law, as well as accepted international norms of conduct and discipline.

Specific Objective 2: Conflict prevention and early response by the AUC and the RECs/RMs are improved.

Expected output:

S.O.2 Output 4: AUC and REC/RM initiatives are carried out in the areas of mediation, shuttle diplomacy, fact-finding missions and/or the set-up phase of a peace support operation

Indicative activities:

The main activity under this result will be the set-up of the third phase of the Early Response Mechanism (ERM). The ERM provides the AU and RECs/RMs with an immediately available source of funding for initiatives aimed at preventing and managing violent conflict in case of urgent and unforeseen needs in crisis situations.

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<sup>38</sup> Securing Predictable and Sustainable Financing for Peace in Africa. Annex III: Towards an Integrated AU Human Rights & Conduct and Discipline Compliance Framework for African Union Peace Support Operations. July 2016.



Specifically, the ERM provides support to increase the role and decision-making capacity of the AU and RECs/RMs on mediation and preventive diplomacy, and to strengthen their capacity to set up conflict prevention operations through mediation, political negotiation and/or shuttle diplomacy. In this context, particular attention will be paid to the creation of synergies between track 1 (official, high-level) and track 2 and 3 (unofficial, meso- and local/community-level) mediation efforts, including with relevant activities funded under other EU development cooperation instruments. Efforts will be made to ensure the equal participation of women in all stages and on all levels of mediation activities. Furthermore, the meaningful involvement of African civil society, including youth, will be encouraged where feasible and relevant.

The ERM furthermore allows for support to the deployment of security and/or Human Rights observers and the strategic planning and preparation for African-led PSOs, e.g. through fact-finding missions, as well as the initial phases of deployment of PSOs in cases of unforeseen crisis.

Responding to the findings of the 2015 evaluation of the ERM, the maximum duration of mediation and political negotiation initiatives will be extended from 12 (9+3) to 24 (12+12) months, to respond to the need for reliable support to long-term engagement in complex conflict environments. The maximum duration of any other urgent unforeseeable action will remain at 9 (6+3) months. In both cases, extensions beyond the initial duration of an initiative will have to be duly justified.

Specific Objective 3: Conflict management through the deployment of peace support operations by the AUC and African regional organisations is improved.

Expected output:

S.O.3 Output 5: Forces of African-led PSOs are adequately prepared, including through training on gender, humanitarian law and Human Rights aspects, with a particular focus on sexual and gender-based violence, and deployed, and undertake the tasks mandated in the relevant Strategic CONOPS.

Indicative activities:

The APF will provide funding to African-led PSOs in accordance with the procedure detailed in Appendix I of this Action Programme. Lessons learned during the implementation of past Action Programmes have shown that funding requirements have consistently exceeded the available means; therefore, the APF contribution to troop stipends will continue to be limited to a maximum of 80% of the 2015 UN rate for stipends paid to troops and police deployed in the framework of African-led PSOs, as foreseen in section 5.6. In addition, Commission Services and the EEAS will assess whether individual PSO funding requests can rely on sufficient in-kind and/or complementary financial support to ensure their effectiveness. The field monitoring of PSOs will be enhanced to assess progress towards the objectives as defined in the relevant Strategic CONOPS.

The scope of activities eligible for funding under this Specific Objective is not limited to peace-enforcement and peace support operations, but may also include the initial steps of post-conflict peacebuilding efforts such as disarmament, demobilisation and reintegration.

The APF is intended as a means to support African-led PSOs for a limited period of time during the most acute phases of crisis. To avoid an excessive concentration of funding on particular PSOs, exit strategies will be discussed and agreed at an early stage of APF involvement in the financing of PSOs, and regularly updated depending on the evolution of the situation on the ground.

This Action Programme will support activities with a continental or regional dimension implemented either by the AU, by RECs/RMs, or by sub-regional organisations carrying out a peace and security operation with an AU PSC mandate.

## **4.2 Intervention Logic**

This Action Programme aims at preventing the negative consequences of violent conflict, removing a direct cause of forced displacement and creating favourable conditions for sustainable social and economic development. It does so with the understanding that there can be no sustainable development without security.

In line with the JAES, the basic assumption upon which this Action Programme relies is that the most effective strategy to achieve peace and stability in Africa is to support the efforts of African organisations that have a mandate to promote peace and security.

This will be achieved through AU and/or African regional organisations' interventions to prevent (Specific Objective 2) and, if necessary, manage violent conflict (Specific Objective 3). To be effective, these interventions require an operational APSA (Specific Objective 1) which ensures appropriate capabilities and know-how, as well as direct external financial support to African preventive diplomacy initiatives and PSOs, as the AU and RECs/RMs are currently unable to cover the associated costs on their own.

### **4.3 Mainstreaming**

Strengthening the human rights dimension of conflict prevention, crisis management and post-conflict processes is one of the key areas of cooperation under the priority area "Peace and Security" of the JAES. The AU-EU Memorandum of Understanding on Peace, Security and Governance further underlines the centrality of Human Rights, including the fight against conflict-related gender-based violence, in the attainment of peace and security on the African continent.

Under this Action Programme, Human Rights will be integrated in all foreseen activities, including all future African-led PSOs. Particular attention will be paid to the mainstreaming of relevant guidelines on Human Rights, gender sensitivity, and the protection of women, children and persons in the most vulnerable situations in armed conflict. This includes a focus on the role of women as active participants in all issues related to their security and safety, and the security and safety of their families and communities, as well as in addressing and managing conflict, including the promotion of the implementation of the protocol on the Rights of Women in Africa (Maputo Protocol), and the full application of all UN Security Council Resolutions on Women, Peace and Security, on youth in conflict prevention and resolution, as well as on the protection of children affected by armed conflict. These will be systematically integrated and followed up upon throughout the Action Programme by promoting the increased participation of women in conflict prevention, conflict management and peacebuilding efforts by the AU and RECs/RMs.

To this end, the actions implemented under the present Action Programme will include the following measures as relevant:

- Activities to prevent and respond to Human Rights violations, including sexual and gender-based violence in conflict and post-conflict situations, and activities promoting and/or reinforcing women's participation in PSOs, as well as in conflict prevention and other relevant activities. Specific budget lines will be included to finance these activities.

- Specific contract provisions requesting detailed reporting on training activities regarding Human Rights and gender, on measures adopted to prevent Human Rights violations, including gender and sexual violence in PSOs, on the number of cases reported, investigated and prosecuted as relevant, as well as on the number of women within PSO contingents and the number of women involved in mediation activities. All data provided will be, whenever possible, disaggregated by sex and age.
- When formulating actions, an "atrocities-prevention lens" will be applied to promote the prevention of Human Rights and international humanitarian law violations, and ensure that EU-supported actions are conflict-sensitive, do no harm and are in line with the global political commitment towards the Responsibility to Protect endorsed by all UN member states in 2005.

This Action Programme focuses on strengthening African capacities and financing African efforts to prevent and manage violent conflict. While "Gender Equality and Women's and Girl's Empowerment" is not one of its significant objectives, this will be established as a significant objective of actions under this Action Programme whenever feasible, in line with the Council of the EU's conclusions on women, peace and security adopted on 10 December 2018, which recall the commitments of the EU and its Member States to the implementation of UN Security Council Resolution 1325 and its follow-up resolutions, and the promotion of the role of women in achieving sustainable peace, security, Human Rights, justice and development. The AU shares these objectives, as evidenced by its Gender Strategy 2018-2027, which aims "to ensure women's equal and effective participation in all areas of conflict prevention and resolution, peacebuilding, as well as post-conflict reconstruction and development".

As far as possible and whenever relevant, efforts will be made to mainstream relevant guidelines on sustainable development, including those related to the integration of climate change and environmental issues, in APF actions and contracts.

#### **4.4 Contribution to SDGs**

This intervention is relevant for the United Nations 2030 Agenda for Sustainable Development. It contributes primarily to the progressive achievement of SDG 16 "Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels", in particular SDG 16.1 "Significantly reduce all forms of violence and related death rates everywhere".

## **5 IMPLEMENTATION**

### **5.1 Financing agreement**

In order to implement this action, it is foreseen to conclude a financing agreement with the African Union Commission.

### **5.2 Indicative implementation period**

The indicative operational implementation period of this action, during which the activities described in section 4 will be carried out and the corresponding contracts and agreements implemented, is 72 months from the date of entry into force of the financing agreement.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Decision and the relevant contracts and agreements.

### **5.3 Implementation of the budget support component**

N/A

### **5.4 Implementation modalities**

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures<sup>39</sup>.

#### **5.4.1 *Specific Objective 1: 1. The conflict prevention, management and resolution structures and mechanisms of the African Peace and Security Architecture are improved.***

##### **5.4.1.1 Procurement (direct management)**

As part of the support to the operationalisation of the APSA, targeted technical assistance will be procured to support the AU and RECs/RMs. Procurement procedures for service contracts will be launched indicatively during the fourth quarter of 2019.

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<sup>39</sup> [www.sanctionsmap.eu](http://www.sanctionsmap.eu) Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

As part of the support to the operationalisation of the APSA, through an administrative arrangement, the Joint Research Centre (JRC) will provide scientific and technical support to the AU's Continental Early Warning System (CEWS) to enable AU decision-makers to enhance their early detection of emerging risks and situations, as well as to respond proactively and proportionally through collaborative monitoring and risk analysis. The JRC will perform capacity-building activities and trainings on the use and operation of the AU Conflict Analysis and Alerting Systems. The commitments of the JRC, e.g. related to reporting, will be detailed in an administrative arrangement<sup>40</sup>.

Subject	Indicative type (works, supplies, services)	Indicative trimester of launch of the procedure
Technical Assistance	Services	Q4 2019
JRC Technical Assistance to the CEWS	Services	Q4 2019

#### 5.4.1.2 Indirect management with an international organisation: United Nations Office of the High Commissioner for Human Rights

A part of this action may be implemented in indirect management with the United Nations Office of the High Commissioner for Human Rights (OHCHR). This implementation entails support by the OHCHR to the establishment and implementation of a HR/IHL compliance framework for African-led PSOs.

The envisaged entity has been selected using the following criteria: the organisations mandate and institutional experience, which make the OHCHR the most suitable entity to provide expertise and advise the AU on the definition and implementation of policies, measures and mechanisms to ensure that African-led PSOs are compliant with Human Rights and international humanitarian law, and conduct and discipline standards. Pursuant to UN Security Council Resolution 2320 (2016), the OHCHR is the main actor already providing technical support to the AUC PSD to initiate the establishment of the continental HR/IHL compliance framework. To this end, OHCHR staff is based within the UN Office to the African Union in Addis Ababa.

<sup>40</sup> To be signed between DG DEVCO and DG JRC of the European Commission.

#### 5.4.1.3 Indirect management with a regional organisation

A part of this action with the objective of "improving the conflict prevention, management and resolution structures and mechanisms of the African Peace and Security Architecture" may be implemented in indirect management with the AUC, according to the following modalities:

The regional organisation will act as the contracting authority for the procurement and grant procedures. The Commission will control ex-ante all the procurement and grant procedures.

Payments are executed by the Commission.

The responsible authorising officer will ensure that this entity complies with the conditions of points (a) to (d) of Article 154(4) of Regulation (EU, Euratom) 2018/1046 applicable in accordance with Article 15 of Council Regulation (EU) 2018/1877. Where it complies with those requirements only in part, the Commission will take appropriate remedial measures to supervise and support the implementation of the tasks entrusted to them.

The AUC underwent the assessment under Regulation (EU, Euratom) No 966/2012. The results of this review were not satisfactory for the procurement, accountancy and sub-delegation pillars. The Commission therefore negotiated a new AUC-EC Aide-Mémoire on measures to strengthen financial management of the AUC that contains a series of engagements, including remedial measures that had been agreed in previous Aide-Mémoires signed in 2009 and 2011. The new Aide-Mémoire was signed on 14 April 2016 and revised on 24 May 2017 to account for progress achieved by the AUC. Its provisions include the implementation of a pillar assessment roadmap, and regular communication of the AUC's audited financial statements as well as information on actual expenditures, accounts and the detailed financial situation of the AUC as an organisation to the EC. Annex II of the revised Aide-Mémoire contains remedial measures that are to be included in the Special Conditions of all contracts signed between the Commission, on behalf of the European Union, and the AUC. The pillar assessment roadmap is regularly monitored by the same team of external consultants that organised the pillar assessment in 2015.

## **5.4.2 *Specific Objective 2: Conflict prevention and early response by the AUC and the RECs/RMs are improved.***

### **5.4.2.1 Indirect management with a regional organisation**

A part of this action with the objective of "improving conflict prevention and early response by the AUC and the RECs/RMs" may be implemented in indirect management with the AUC, according to the following modalities:

The regional organisation will act as the contracting authority for the procurement and grant procedures. The Commission will control ex-ante all the procurement and grant procedures.

Payments are executed by the Commission.

The responsible authorising officer will ensure that this entity complies with the conditions of points (a) to (d) of Article 154(4) of Regulation (EU, Euratom) 2018/1046 applicable in accordance with Article 15 of Council Regulation (EU) 2018/1877. Where it complies with those requirements only in part, the Commission will take appropriate remedial measures to supervise and support the implementation of the tasks entrusted to them.

The AUC underwent the assessment under Regulation (EU, Euratom) No 966/2012. The results of this review were not satisfactory for the procurement, accountancy and sub-delegation pillars. The Commission therefore negotiated a new AUC-EC Aide-Mémoire on measures to strengthen financial management of the AUC that contains a series of engagements, including remedial measures that had been agreed in previous Aide-Mémoires signed in 2009 and 2011. The new Aide-Mémoire was signed on 14 April 2016 and revised on 24 May 2017 to account for progress achieved by the AUC. Its provisions include the implementation of a pillar assessment roadmap, and regular communication of the AUC's audited financial statements as well as information on actual expenditures, accounts and the detailed financial situation of the AUC as an organisation to the EC. Annex II of the revised Aide-Mémoire contains remedial measures that are to be included in the Special Conditions of all contracts signed between the Commission, on behalf of the European Union, and the AUC. The pillar assessment roadmap is regularly monitored by the same team of external consultants that organised the pillar assessment in 2015.



### **5.4.3 *Specific Objective 3: Conflict management through the deployment of peace support operations by the AUC and African regional organisations is improved.***

For support to new PSOs, the elements required by point (f) of Article 110(3) of Regulation (EU, Euratom) 2018/1046 applicable in accordance with Article 24 of Council Regulation (EU) 2018/1877 will be specified in an additional Commission Decision (see Annex I, section 1).

#### **5.4.3.1 Grants: (direct management)**

##### **(a) Purpose of the grant(s)**

The purpose of the grants will be to have the RECs/RMs/G5 Sahel make efficient use of their conflict management and resolution tools.

##### **(b) Type of applicants targeted**

Grants may be awarded without a call for proposals to the RECs/RMs which currently are part of the APSA by virtue of having signed a Memorandum of Understanding with the AU in this regard: the Arab Maghreb Union (AMU), the Economic Community of Sahelo-Saharan States (CEN-SAD), the Common Market of East and Southern Africa (COMESA), the East African Community (EAC), the Eastern Africa Stand-by Force (EASF), the Economic Community of Central African States (ECCAS), the Economic Community of West African States (ECOWAS), the Inter-Governmental Authority for Development (IGAD), the North Africa Regional Capability (NARC), and the South African Development Community (SADC).

In addition, subject to relevant mitigating measures, grants may be awarded without a call for proposal to the G5 Sahel by virtue of its regional mandate to coordinate regional cooperation in security matters among its Member States (Burkina Faso, Mali, Mauritania, Niger, Chad), notably through its Joint Force. The AU has endorsed the mandate of the G5 Sahel Joint Force.

##### **(c) Justification of a direct grant**

Under the responsibility of the Commission's authorising officer responsible, grants may be awarded without a call for proposals to the RECs/RMs mentioned under section 5.4.3.1 (b). Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposal is justified because of the RECs/RMs' legal and factual monopoly over the implementation of peace and security actions in their respective regions within the context of the APSA, and because of the crisis-management character of the foreseen peace and security actions.

Under the responsibility of the Commission's authorising officer responsible, grants with relevant mitigating measures may be awarded without a call for proposals to the G5 Sahel. Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposal is justified because of the role of the G5 Sahel's institutional framework in coordinating regional cooperation in security matters among its Member States (Burkina Faso, Mali, Mauritania, Niger, Chad). In this context, the G5 Sahel Joint Force was set up and the AU has endorsed its mandate.

#### **5.4.3.2 Indirect management with a Member State Organisation**

A part of this action may be implemented in indirect management with an entity which will be selected by the Commission's services using the following criteria: particular experience of the organisation in the provision of capacity-building expertise, particular experience of the organisation in implementing peace and security programmes in highly insecure environments, and presence of the organisation on the ground in the geographical area concerned.

The implementation by this entity entails technical, operational and logistical support to the governance structure of a sub-regional organisation carrying out a peace and security operation with an AU PSC mandate. It also entails the delivery of goods, services and works to a sub-regional organisation carrying out a peace and security operation with an AU PSC mandate.

#### **5.4.3.3 Indirect management with an international organisation: United Nations Office of the High Commissioner for Human Rights**

A part of this action may be implemented in indirect management with the United Nations Office of the High Commissioner for Human Rights (UN OHCHR). This implementation entails support to the establishment and implementation of a dedicated HR/IHL compliance framework for the operations of the G5 Sahel Joint Force as per UNSC Resolution 2391.

The envisaged entity has been selected using the following criteria: The UN OHCHR's mandate regarding the respect of Human Rights and international humanitarian law.

#### **5.4.3.4 Indirect management with an international organisation: United Nations Secretariat**

A part of this action may be implemented in indirect management with the UN Secretariat. This implementation entails logistical and operational support to the G5 Sahel Joint Force through the UN Secretariat.

The envisaged entity has been selected using the following criteria: the UN Secretariat mandate of providing support to PSOs, and its presence in the area of operations.

#### **5.4.3.5 Indirect management with an international organisation: United Nations Office for Project Services**

A part of this action may be implemented in indirect management with the UN Office for Project Services (UNOPS). This implementation entails logistical and operational support to the Somali Security Forces, as part of the APF support to AMISOM.

The envisaged entity has been selected using the following criteria: UNOPS expertise and presence in the area of operations.

#### **5.4.3.6 Indirect management with an international organisation: United Nations Support Office in Somalia**

A part of this action may be implemented in indirect management with the UN Support Office in Somalia (UNSOS). This implementation entails logistical and operational support to the Somali Security Forces, as part of the APF support to AMISOM.

The envisaged entity has been selected using the following criteria: UNSOS expertise and presence in the area of operations.

#### **5.4.3.7 Indirect management with a regional organisation**

A part of this action with the objective of "improving conflict management through the deployment of peace support operations by the AUC" may be implemented in indirect management with the AUC, according to the following modalities:

The regional organisation will act as the contracting authority for the procurement and grant procedures. The Commission will control ex-ante all the procurement and grant procedures.

Payments are executed by the Commission.

The responsible authorising officer will ensure that this entity complies with the conditions of points (a) to (d) of Article 154(4) of Regulation (EU, Euratom) 2018/1046 applicable in accordance with Article 15 of Council Regulation (EU) 2018/1877. Where it complies with those requirements only in part, the Commission will take appropriate remedial measures to supervise and support the implementation of the tasks entrusted to them.

The AUC underwent the assessment under Regulation (EU, Euratom) No 966/2012. The results of this review were not satisfactory for the procurement, accountancy and sub-delegation pillars. The Commission therefore negotiated a new AUC-EC Aide-Mémoire on measures to strengthen financial management of the AUC that contains a series of engagements, including remedial measures that had been agreed in previous Aide-Mémoires signed in 2009 and 2011. The new Aide-Mémoire was signed on 14 April 2016 and revised on 24 May 2017 to account for progress achieved by the AUC. Its provisions include the implementation of a pillar assessment roadmap, and regular communication of the AUC's audited financial statements as well as information on actual expenditures, accounts and the detailed financial situation of the AUC as an organisation to the EC. Annex II of the revised Aide-Mémoire contains remedial measures that are to be included in the Special Conditions of all contracts signed between the Commission, on behalf of the European Union, and the AUC. The pillar assessment roadmap is regularly monitored by the same team of external consultants that organised the pillar assessment in 2015.

#### **5.4.3.8** Changes from indirect to direct management mode due to exceptional circumstances

In very exceptional cases, where the envisaged entity has revealed lacking specific expertise and capacity to manage the procurement foreseen for the implementation of a particular PSO, and where no other alternative can provide a viable solution, the Commission may implement part of Specific Objective 3 of this Action Programme through *procurement in direct management*.

## 5.5 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply. In this respect, the AUC will make sure that the above-mentioned geographical eligibility rules are complied with when applying its own procurement rules.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

## 5.6 Indicative budget

	<b>EU contribution</b> <b>(amount in EUR)</b>  of which: <ul style="list-style-type: none"><li>• 75 522.39 from the Grand Duchy of Luxembourg through a transfer agreement to be signed</li><li>• 69 284.06 from the Czech Republic through a transfer agreement to be signed</li></ul>
<b>Specific Objective 1: The conflict prevention, management and resolution structures and mechanisms of the African Peace and Security Architecture are improved, composed of</b>	<b>52 069 284.06</b>
5.4.1.1 Procurement (direct management)	1 500 000
5.4.1.2 Indirect management with a regional organisation	40 569 284.06
5.4.1.3 Indirect management with an international organisation – OHCHR	10 000 000

<b>Specific Objective 2: Conflict prevention and early response by the AUC and the RECs/RMs are improved, composed of</b>	<b>25 000 000</b>
5.4.2.1 Indirect management with a regional organisation	25 000 000
<b>Specific objective 3: Conflict management through the deployment of peace support operations by the AUC and African regional organisations is improved, composed of</b>	<b>705 075 522.39</b>
5.4.3.1 Grants (direct management)	
5.4.3.2 Indirect management with a Member State Organisation	
5.4.3.3 Indirect management with an international organisation – UN OHCHR	
5.4.3.4 Indirect management with an international organisation – UN Secretariat	
5.4.3.5 Indirect management with an international organisation – UNOPS	
5.4.3.6 Indirect management with an international organisation – UNSOS	
5.4.3.7 Indirect management with a regional organisation	
<b>Evaluation, (cf. section 5.9), Audit / Expenditure Verification (cf. section 5.10)</b>	<b>2 000 000</b>
<b>Communication and visibility (cf. section 5.11)</b>	<b>1 000 000</b>
<b>Contingencies</b>	<b>15 000 000</b>
<b>Totals</b>	<b>800 144 806.45</b>

The APF will continue to be open to additional voluntary contributions from EU Member States and from other donors, managed in line with Council Regulation (EU) 2018/1877 of 26 November 2018 on the financial regulation applicable to the 11<sup>th</sup> European Development Fund, to promote coherence and reduce transaction costs and administrative burden for the African partners.

Additional voluntary contributions to the Action Programme, each of which up to EUR 10 000 000 not exceeding 20 % of the maximum contribution of the European Union for the implementation of the programme shall not be considered as specific changes to the Action Programme to the effect of Article 15(b) of Council Regulation 2015/322 of 2 March 2015 on the implementation of the 11<sup>th</sup> European Development Fund. Therefore, the authorising officer responsible may adopt such non-substantial changes in accordance with the principles of sound financial management and proportionality.

### **Retroactive financing**

In order to prevent delays and avoid gaps in funding, the implementing partners may pre-finance certain activities from 1 January 2019, in accordance with Article 19 of Annex IV of the Cotonou Agreement. Retroactive financing will only be permitted for expenditures incurred after the date of request by the beneficiary of the specific actions under this Action Programme, which shall be mentioned in the Special Conditions of the grant contracts or indirect management delegation agreements to be signed with the implementing partners.

### **Eligibility of costs**

An indicative list of eligible expenditure includes: per diems, troop allowances, salaries for the civilian component of PSOs, rations, medical consumables and facilities, transport, travel, fuel, as well as communication services and equipment. The following constitutes an indicative list of non-eligible expenditure: ammunition, arms and specific military equipment, spare parts for arms and military equipment, salaries for soldiers, and military training for soldiers.

For the reimbursement of costs related to the deployment of troops to African-led PSOs, lump sums will be used, in accordance with the principles of sound financial management and on the basis of the methodology used by the UN to calculate the average cost per soldier per month. This methodology separates such costs into five sub-items, three of which are eligible for financing under the APF (allowances; pre-deployment medical examinations, tests and vaccinations; inland travel to move a contingent to the point of disembarkation to the peace operation). As for the amount of the lump sum, taking into account the outcome of the discussions in the EU Political and Security Committee of 7 July 2015,<sup>41</sup> an amount of EUR 738 per soldier per month is fixed as the maximum. Payment will be made to the governments of the troop contributing countries (TCCs) or directly to troops on the ground depending on arrangements with TCCs.

A Memorandum of Understanding signed between the implementing partner and the TCCs, governing, *inter alia*, the disbursement of funds to the TCCs, will be established at the beginning of an operation and updated when and if necessary. The Memorandum of Understanding will explicitly mention the list of non-eligible expenditures, and the TCCs' responsibility to provide in a timely manner all the supporting documents requested by auditors engaged either by the Commission or by the implementing partner.

## **5.7 Organisational set-up and responsibilities**

Coordination with the AU and RECs/RMs takes place within the institutional framework foreseen in the JAES, complemented by the AUC-EC Aide-Mémoire, which foresees an annual Joint Coordination Committee (JCC) at political level and quarterly Aide-Mémoire Steering Committee meetings at senior official level.

The JCC, including representatives of the EU from Commission services and the EEAS, and of the AU/RECs/RMs, will be responsible for providing strategic guidance for the implementation of support under the APF. The JCC is chaired jointly by the AUC and the EU. AU and EU member states will be fully informed on the outcomes of the JCC meetings and could also be associated to the meetings on an *ad hoc* basis, as has been the practice in the past.

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<sup>41</sup> The conclusions of the EU Political and Security Committee of 7 July 2015 refer to a ceiling of the APF-funded troop allowance of 80% of the UN rate at that time (USD 1 028).



In addition, the AUC and the Commission have set up the Aide-Mémoire Steering Committee to facilitate the effective oversight of the implementation of EU-funded actions by the AUC, as well as progress made regarding the implementation of the commitments contained in the Aide-Mémoire. The Aide-Mémoire Steering Committee is composed of representatives of the AUC and the Commission.

Technical meetings, as appropriate, will prepare the JCC and Aide-Mémoire Steering Committee.

Regular information meetings on the implementation of this Action Programme gathering relevant Commission and EEAS services will be organised.

## **5.8 Performance and Results monitoring and reporting**

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish and maintain a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports, no less than annually, and final reports. Every report shall provide an accurate account of the implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the Logframe matrix. Wherever feasible, monitoring and evaluation should be gender sensitive, and assess the implementation of rights-based approach working method principles (Participation, Non-discrimination, Accountability and Transparency). Monitoring and evaluation are to be based on indicators that are disaggregated by sex and age.

SDGs indicators and, if applicable, any jointly agreed indicators as for instance per Joint Programming document should be taken into account.

The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

Enhanced coordination with the EU Delegation to the AU, as well as with regional Delegations and with the Delegations in countries where actions are implemented will be ensured.

## **5.9 Evaluation**

Having regard to the importance and nature of the action, a final evaluation will be carried out for this action and/or its components via independent consultants contracted by the Commission.

It will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that this evaluation can serve to inform the design of follow-up instruments to the APF post-2020.

The Commission shall inform the implementing partner at least one month in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and *inter alia* provide them with all necessary information and documentation, as well as access to the project premises and activities.

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

The budget of this action programme includes an evaluation provision which the Commission will use, *inter alia*, to organise a final evaluation of this action programme. It is foreseen that evaluation services may be contracted under a framework contract.

## **5.10 Audit**

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

The budget of this action programme includes an audit provision which the Commission will use to organise external audits of operations financed under this programme, whenever deemed necessary. It is foreseen that audit services may be contracted under a framework contract.

## **5.11 Communication and visibility**

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner organisations, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Requirements for European Union External Action (or any succeeding document) shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

A contract financed under the 2017-2018 Action Programme of the APF aiming at implementing an APF communication strategy is ongoing since in December 2017 and will run until July 2019. As such, it ought to be considered as the initial Communication and Visibility Plan of the Action. An extension of this contract may be considered to cover the duration of this Action.

It is foreseen that a contract for communication and visibility may be contracted under a framework contract.

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## **APPENDIX I - DECISION-MAKING PROCEDURES FOR THE AFRICAN PEACE FACILITY, 2019-2020**

As a general rule, the formal decision-making process for each action funded by the APF will be launched upon a request from the AU or from a REC/RM or sub-regional organisation carrying out a peace and security operation with an AU PSC mandate. When a REC/RM or a sub-regional organisation carrying out a peace and security operation with an AU PSC mandate requests an initiative, this initiative shall require the political approval of the AU. Peace Support Operations funded by the APF should be consistent with UN principles and objectives. In this respect, endorsement in the broadest sense should be sought from the UN system, in accordance with the UN Charter, in particular Chapters VII and VIII. While seeking this UN endorsement, the decision-making should, however, be flexible enough to advance with regard to the provision of funding. The following procedures will apply to APF-funded interventions:

### **1) Standard procedure**

Upon a request from the AU or a REC/RM or a sub-regional organisation carrying out a peace and security operation with an AU PSC mandate, the EEAS and Commission services will present a joint information note on the intervention envisaged including recommendations to the relevant Council working groups and will seek the approval of the Political and Security Committee (PSC) on the political appropriateness of the requested intervention.

For support to new Peace Support Operations, once the request has been endorsed by the PSC, the Commission will launch its internal decision-making process. In case of (i) an extension or renewal of support to an existing Peace Support Operation, or (ii) support to the operationalisation of the APSA, no new Commission Decision will be needed.

### **2) Early Response Mechanism (ERM)**

The ERM will finance interventions that require immediate financial support due to their nature of responding to urgent and unforeseen needs in crisis situations. The maximum duration of mediation and political negotiation initiatives is 24 (12+12) months, while the maximum duration of any other urgent unforeseeable action is 9 (6+3) months. In both cases, extensions beyond the initial duration of an initiative have to be duly justified.

Upon receipt of a request from the AU or a REC/RM, the EEAS and Commission services will assess the request and decide jointly on the appropriateness of funding the requested initiative. No new Commission Decision will be required to finance individual initiatives under the ERM. The PSC and the relevant Council working groups will be kept informed on activities supported by the ERM.

Further details on the scope of the ERM, as well as the principles and procedures for its implementation are set out in the ERM Implementing Guidelines.

### 3) Audit, monitoring, evaluation, technical assistance and visibility

Operational activities such as audit, monitoring, evaluation, technical assistance, lessons learned and visibility will be decided by the Commission in consultation with the EEAS and will not be submitted to the decision-making process required for other actions under the APF Action Programme.

## APPENDIX II - INDICATIVE LOGFRAME MATRIX

	Results chain:  Main expected results (maximum 10)	Indicators  (at least one indicator per expected result)	Sources of data	Assumptions
<b>Impact (Overall Objective)</b>	O.O: To reduce the incidence, duration and intensity of violent conflicts in Africa.	1. Number of violent conflict-related deaths per year in Africa  2. Number of violent conflicts per year in Africa  3. Intensity of violent conflicts per year in Africa  4. Duration of violent conflicts in Africa	1. Uppsala Conflict Data Program (UCDP)  2. Heidelberg Conflict Barometer (HIK)  3. Heidelberg Conflict Barometer (HIK)  4. Heidelberg Conflict Barometer (HIK)	<i>Not applicable</i>
<b>Outcomes (Specific Objectives)</b>	S.O.1: The conflict prevention, management and resolution structures and mechanisms of the African Peace and Security Architecture are improved  S.O.2: Conflict prevention and early response by the AUC and the RECs/RMs are improved	<i>1.1 To be completed (ex: number of African-led PSOs implementing ASF doctrines; number of strategic planning sessions involving the PLANELMs; number of Strategic CONOPS and support plans reviewed or drafted)</i>  2.1 Number of conflict prevention initiatives by the AUC and the RECs compared to the number of conflicts eligible for intervention by APSA actors.	<i>1.1 To be completed</i>  2.1 APSA Impact Report (IPSS / GIZ)	Africa experiences progressive socio-economic development and improved welfare of its citizen.  Peace and security remains a priority area of EU-AU/RECs/RMs cooperation.  The APSA remains the

	S.O.3: Conflict management through the deployment of peace support operations by the AUC and African regional organisations conflict is improved	<p>2.2 Level of quality of these initiatives (as per the IPSS / GIZ methodology).</p> <p>2.3 Level of effectiveness of these initiatives (as per the IPSS / GIZ methodology).</p> <p>3.1 Number of peace support operations deployed by the AUC and the African regional organisations compared to the number of conflicts eligible for intervention by APSA actors.</p> <p>3.2 Level of quality of these interventions (as per the IPSS / GIZ methodology).</p> <p>3.3 Level of effectiveness of these interventions (as per the IPSS / GIZ methodology).</p>	<p>2.2 APSA Impact Report (IPSS / GIZ)</p> <p>2.3 APSA Impact Report (IPSS / GIZ)</p> <p>3.1 APSA Impact Report (IPSS / GIZ)</p> <p>3.2 APSA Impact Report (IPSS / GIZ)</p> <p>3.3 APSA Impact Report (IPSS / GIZ)</p>	framework within which challenge to peace and security in Africa will be addressed.
<b>Outputs</b>	<p>S.O.1 – O.1: Targeted outputs of the 2016-2020 APSA Roadmap are delivered</p> <p>S.O.1 – O.2: AUC-RECs/RMs coordination in the area of peace and security is improved</p>	<p><i>1.1.1 To be completed at contract level (ex: status of legal arrangements and procedures for the employment of the ASF by the AUC and REC/RMs)</i></p> <p><i>2.1.1 To be completed at contract level (ex: number of coordination meetings organised)</i></p>	<p>1.1.1 Reports from capacity building contracts</p> <p>2.1.1 Reports from capacity building contracts</p>	<p>Decisions of the AU PSC are implemented.</p> <p>No threat or eruption of a violent conflict among Member States of the AUC and/or of any given African regional organisation.</p>

	S.O.1 – O.3: A HR/IHL compliance framework applicable to all African-led PSOs is established	<i>3.1.1 To be completed at contract level (ex: status of the HR/IHL compliance framework applicable to all African-led PSOs)</i>	3.1.1 Reports from capacity building contracts	The AUC continues to implement the Aide-Mémoire on strengthening financial management.
	S.O.2 – O.4: AUC and REC/RM initiatives are carried out in the areas of mediation, shuttle diplomacy, fact-finding missions and/or the set-up phase of a peace support operation	<i>4.1.1 To be completed at contract level (ex: number of AUC and RECs/RMs initiatives carried out in the area of mediation)</i>	4.1.1 Reports from ERM contracts and initiatives	The AUC remains committed to improve the HR/IHL compliance of African-led PSOs.
	S.O.3 – O.5: Forces of African-led PSOs are prepared, deployed and undertake the tasks mandated in the relevant Strategic CONOPS	<i>5.1.1 To be completed at contract level (ex: number of forces of African-led PSOs deployed)</i>	5.1.1 Reports from PSO contracts	For each PSO, a Strategic CONOPS is in place, relevant and implemented.  AU Member States continue to provide troops for PSO deployments.