



**COUNCIL OF
THE EUROPEAN UNION**

Brussels, 17 June 2011

11730/11

**ACP 149
FIN 420
RELEX 667
COAFR 187
ONU 91
PESC 794**

NOTE

From:	General Secretariat of the Council
To:	Delegations
No. prev. doc.:	10861/11 + 10862/11
Subject:	Three-year Action Programme for the African Peace Facility, 2011-2013 (10th EDF)

On 16 June 2011 the Permanent Representatives Committee approved the Three-year Action Programme for the African Peace Facility, 2011-2013 (10th EDF)¹.

In accordance with Article 12(b) of Council Regulation (EC) No 617/2007 on the implementation of the 10th EDF², the Action Programme annexed to this note can now be adopted by the Commission.

¹ Doc. 10862/11.

² OJ L 152, 13.6.2007, p. 1.

THREE-YEAR ACTION PROGRAMME FOR THE AFRICAN PEACE FACILITY, 2011-2013 (10TH EDF)

Identification

Financial heading	Intra-ACP funds, 10 th EDF
Requesting Authority	African Union. Request endorsed by the ACP-EC Committee of Ambassadors.(xx May 2011)
Total cost	€300M from the intra-ACP indicative programme reserve in accordance with the GAERC Conclusions of 10-11 April 2006.
Legal basis	Article 12 of Council Regulation (EC) No 617/2007 of 14 May 2007 on the implementation of the 10 th European Development Fund under the ACP-EC Partnership Agreement. Council Conclusions of 13, May 2011

Introduction

This Action Programme is the basis for the replenishment and the implementation of the African Peace Facility (APF) under the 10th EDF for the period 2011-2013, in line with the Council Conclusion of 13 May 2011, the GAERC Conclusions of 10-11 April 2006, and pursuant to Article 12 of Council Regulation (EC) No 617/2007 of 14 May 2007³ on the implementation of the 10th European Development Fund under the ACP-EC Partnership Agreement⁴.

The Facility is based on the recognition that peace and security are preconditions for sustainable development. As underlined in the EU Council Conclusions on "Security and Development" of November 2007, the nexus between development and security should inform the EU strategies and policies.

The general objective of the APF is to contribute to peace, stability and security in Africa through targeted support to African efforts at the continental and regional level in the area of conflict prevention, management and resolution, and peace building.

The close EU-AU cooperation on peace and security through the APF has become a driving force for the development of a fully-fledged EU-Africa strategic partnership, culminating in the comprehensive Joint Africa-EU Strategy adopted in December 2007 in Lisbon. In the new post-Lisbon strategic context, the African Peace Facility is a major financing tool to support the implementation of the Joint Strategy, the Second Action Plan and in particular the Partnership on Peace and Security. The APF will focus on addressing peace and security priorities jointly defined in the Partnership, in respect of the underlying principles of the Joint Strategy.

³ Council Regulation (EC) n° 617/2007, OJ L 152, 13.6.2007

⁴ hereinafter referred to as 10th EDF Implementing Regulation

The timeframe of this Action Programme corresponds to the timeframe of the second Joint Africa-EU Action Plan. A comprehensive evaluation of the APF Action Programme has been launched early 2011 and will review the overall implementation of the APF and its results, as well as the relevance, impact, effectiveness and efficiency of the APF as an instrument for African efforts to manage conflicts on the continent and provide recommendations for the future.

This Action Programme is based on peace and security priorities and recommendations developed jointly with the African side, following a consultation process involving the African Union and the Regional Economic Communities and Regional Mechanisms for conflict prevention, management and resolution (RECs/RMs).

GENERAL CONTEXT

Situation analysis

Africa is a continent that has been seriously affected by conflicts and instability. Conflicts in Africa have had a massive impact on the continent's prospects for long-term structural stability and sustainable economic and social development. They have caused the deaths of millions of people, injuries and abuse to countless others and have destroyed innumerable livelihoods.

The last decades have clearly shown that, unless the root causes of conflict situations are addressed, economic development and therefore poverty reduction will remain no more than an ambition. A comprehensive approach is required, aiming at timely and effective preventive action, efficient conflict management and resolution, and also post-conflict stabilisation.

The current crisis in North Africa, for long considered a rather stable and prosperous African region, illustrates how fast an entire region can spiral downwards into a situation of crisis and violent conflict and how fast the effect of such crisis can spread to neighbouring countries and regions through refugee flows, arms trafficking, etc.

The heavy humanitarian and security impact within the region and beyond underlines the need for co-ordinated international actions to support the movement towards full democracy, stability and prosperity.

In recent years, the African Union has shown a strong commitment and taken practical steps to address the challenges to peace and security through African-owned and African-led initiatives in the area of conflict prevention, management and resolution. The notion that peace and security are preconditions for the continent's development and growth lies at the heart of the African Peace and Security Architecture.

The African Peace and Security Architecture (APSA)

When establishing the African Union in 2002, its Member States entrusted the organisation with a broad political mandate in the area of conflict prevention, management, resolution and peace building. The Protocol relating to the establishment of the Peace and Security Council of the AU entered into force on 26 December, 2003 and embraces an expanded and comprehensive agenda for peace and security that includes conflict prevention, early warning and preventive diplomacy, peace-making and peace building, the encouragement and promotion of democratic practices and intervention and humanitarian action and disaster management. APSA is intended to give the AU the necessary instruments to fulfil the tasks set out in the Constitutive Act and the Protocol. Promoting peace, security and stability on the continent has become one of the main objectives of the AU, which has now determined that it could, and indeed should, intervene in a Member State in case of grave circumstances, such as war crimes, genocide and crimes against humanity.

Over the past couple of years the AU has gradually emerged as a major political and security actor especially in the areas of African-led peace support operations (Sudan, Somalia, Comoros, Central African Republic) and mediation (Niger, Côte d'Ivoire, Sudan, etc.). The examples of AU peace support operations in Sudan (AMIS) and in Somalia (AMISOM) show what important role the AU plays in this area.

However past experiences and lessons learned show clearly that African capacity constraints at all levels remain the most important challenge. While the AU still greatly depends on external funding, the lack of predictable funding resources was described as being a major priority in the First Action Plan under the Joint Partnership on Peace and Security and was addressed through mobilising the African Peace Facility.

In order to address the peace and security challenges on the continent, the African Peace and Security Architecture (APSA) was developed. With its aim to prevent, manage and resolve conflicts and support peace-building, the APSA consists of several components and structures, in particular an AU Peace and Security Council (PSC), which is the central AU decision-making body; a Continental Early Warning System (CEWS) and a 'Panel of the Wise', with a mandate in conflict prevention and resolution, and an African Standby Force (ASF) to be deployed in operations supporting peace. In addition, APSA aims to harmonise, streamline and implement actions regarding cross-cutting and thematic peace and security issues such as SSR, PCRD, counter-terrorism, SALW, maritime safety and security etc.

Of critical importance is the subsidiarity principle between the AU's responsibilities vis-à-vis those of the Regional Economic Communities (RECs). The African RECs are the building blocks of the overall security architecture of the Union and they contribute to the efforts of the AU, through appropriate structures and initiatives. Regional components are key elements of the Continental Early Warning System as well as of the African Standby Forces, the development of which requires a coherent, harmonized approach.

An assessment of APSA was carried-out in 2010, the main findings being that progress has been made in operationalising the various components and structures, however, a lot remains to be done.

Some of the challenges that need further addressing:

- (1) 1. AU should provide more strategic guidance for the operationalization of APSA so-as to reinforce the principle of subsidiarity and ensure greater harmonization and coherence
- (2) 2. APSA should not be limited to the five components identified in the Protocol but should be flexible to factor in emerging political and security dynamics such as SSR, PCRD, DDR, counter-terrorism etc.
- (3) 3. The institutional relationship between the AU and the RECs needs further strengthening.

However, different African regions are progressing at different speeds; while some are clearly in the vanguard, others are lagging behind. In order to make APSA more efficient, a clear prioritisation needs to be done by the AU and the RECs. To this end, work has commenced for the development of an APSA-roadmap.

The EU response

The resolve of the African side to take responsibility for its own peace and security has been strongly supported by the EU from the outset, both politically and financially.

In 2004, the African Peace Facility (APF) was established in response to a request by African leaders at the AU Summit in Maputo (2003)⁵. Through the APF, the EU has been at the forefront of international support to the African Peace and Security Architecture, providing, in parallel to EU political backing, substantial and predictable funding to African peace support operations (PSOs) and relevant capacity building at the regional and continental level. Financial support of nearly €740M, which has been channelled through the APF, including Additional Voluntary Contributions (AVCs) of EU Member States, has enabled the young African Union to strengthen its role, take responsibility for the stability of the continent and emerge as an internationally recognized, major player in the political and security areas. In addition, substantial funds have been programmed within the Regional Indicative Programmes of the 9th and 10th EDF for addressing governance and peace & security issues within the RECs.

In its comprehensive Strategy for Africa (2005)⁶, with Peace and Security featuring as one of the main pillars, the EU committed to further enhance its overall support to Africa at all stages of the conflict cycle. In order to ensure predictability of support to the APSA, the Strategy provided for the strengthening of the African Peace Facility with further substantial, long-term, flexible and sustainable funding. In parallel, dialogue on peace and security between the EU and AU developed further, leading to a closer working relationship and numerous initiatives in other thematic areas.

Subsequently, with a view to a more consolidated and coherent EU framework for addressing specific African needs, an “EU Concept for strengthening African capabilities for the prevention, management and resolution of conflicts” was put forward (in 2006)⁷. The main objectives of the Concept include: support to African capacities, policies and structures in the area of mediation; early warning; post-conflict reconstruction; relevant capacities for peace support operations, and the establishment of the ASF.

Joint Africa-EU Strategy

In December 2007, the relationship between the EU and Africa was put on a new, strategic footing with the adoption of the Joint Africa-EU Strategy in Lisbon. Three years later, after a thorough assessment, African and European Heads of States and Governments gathered at the occasion of the third Africa-EU Summit, confirmed the Joint Africa-EU Strategy as the central political framework for their relations, and adopted the new Action Plan for 2011-13.

The Strategy and its successive Action Plans reflect jointly agreed objectives and priorities and provide a coherent and comprehensive framework for joint initiatives in the 8 priority areas or thematic Partnerships. The ambitious partnership on Peace and Security consists of three Priority Actions, which were reaffirmed in the Action Plan 2011-2013. They are designed to mutually reinforce each other, namely:

- (1) Enhance dialogue on challenges to peace and security, including through systematic and regular dialogue, consultations, coordination of positions, sharing of information and analysis, joint assessment missions and exchange of experience;

⁵ On the basis of the Joint Council decision 3/2003 of 11th December 2003

⁶ EU Council Conclusions of 15-16 December 2005

⁷ 2760th General Affairs and External Relations Council meeting, Brussels, 13 November 2006

- (2) Operationalisation of the African Peace and Security Architecture, including working towards the development of fully-fledged Continental Early Warning System, Panel of the Wise, overall strengthening of conflict prevention mechanisms and effective post-conflict reconstruction, as well as operationalisation of the African Standby Force;
- (3) Predictable funding for Africa-led peace support operations, in particular through the establishment of an EU predictable and sustainable funding scheme, as well as through working with the international community to achieve a UN mechanism to provide sustainable and predictable financial support for these operations.

The objective of the APF is to provide a response to all three priorities of the Partnership, with a financial focus on priority actions n°2 and 3.

The experience of the implementation of the first JAES Action Plan 2007-2010 has enabled both sides to address several cross-cutting issues, to build on the initial successes and results in each thematic partnership, and to actively tackle the challenges for the way ahead. In the area of Peace and Security, one of the key lessons learned is that the political dialogue has intensified significantly, but that more could and should be done to reach common positions and to implement common approaches to challenges to Peace & Security in Africa, Europe and globally. In this respect, too, the APF will be instrumental to provide the necessary technical and operational underpinnings to make the Africa-EU Partnership more effective and efficient

Past cooperation and lessons learned

4.1 APF support under the 9th EDF

The APF was established in 2004 under the 9th EDF for an initial amount of €250M. This initial envelope was replenished four times during the period 2004-2007 (three times through EDF funds and once through Additional Voluntary Contributions from EU Member States), reaching a final amount of nearly €440M.

The establishment of the Facility and subsequent replenishments were made possible thanks to the endorsement by the group of ACP states.

Out of the €440M, nearly €400M were allocated to fund Peace Support Operations: of which around €300M to the AMIS operation in Darfur, and nearly €100M to the AMISOM (Somalia), FOMUC (Central African Republic) and AMISEC (Comoros) missions. This support from the APF was channelled to the AU and RECs/RMs via specific Contribution Agreements.

Capacity Building was the second branch of APF activities. In this area, approximately €26M were committed for activities aimed at strengthening capacities at the continental and regional level of those institutions recognised within the APSA framework. Specific emphasis was placed on the strengthening of functional links between the AU and the RECs/RM by supporting the establishment of permanent RECs Liaison offices in Addis Ababa. These activities were complemented by a parallel €7.7M contribution for Conflict Prevention from the South Africa heading of the EC budget.

4.2 APF support under the 10th EDF (1st allocation of €300 M)

The first allocation of €300 M from the 10th EDF was earmarked as follows: € 200m for Peace Support Operations, € 65m for Capacity Building Programmes, € 15m for the Early Response Mechanism, € 7m for audit, monitoring, technical assistance etc. and finally € 13 m for contingencies.

These funds have been almost completely contracted. The AU-led AMISOM operation in Somalia is by far the biggest APF-supported operation and more than € 170 M have been contracted for this operation under the 10th EDF. The ECCAS-led operation MICOPAX in RCA is a much smaller operation, but has also received important support from the APF - more than € 35 M has been contracted under the 10th EDF.

The purpose of the Early Response Mechanism (ERM) is to endow the African Union and the RECs with a source of immediate funding for the first stages of actions aimed at the prevention, management or resolution of crises. This instrument has proven to be particularly useful and ERM-funding has permitted AU and RECs to launch an increasing number of mediation activities in crisis areas (Ivory Coast, Niger, Guinea among others). The ERM is funded by € 15 M from the APF.

In the area of Capacity Building, APF has committed € 10 M in support of the AUC Joint Salaries Financing Arrangement covering staff salaries in the AUC Peace and Security Department and an important € 40 M APSA support programme has been prepared and is expected to be contracted by June/July 2011 in order to provide continuous funding in this area.

4.3 Lessons learned

The APF is a relatively new instrument and the European Commission has therefore continuously aimed at identifying lessons learned in order to improve the design and functioning of the APF. A formal external Mid-Term Evaluation was conducted in 2005, an APF Lessons Learned seminar was organised in Djibouti in 2007 with AU and RECs participation and in line with the requirements of art 12(f) of the 10th EDF Implementing Regulation, a part one of an APF evaluation was carried out in 2011, with the objective of reviewing the procedures of the APF as well as the possibilities of alternative future sources of funding, including common foreign and security policy funding. The review looks at the APF intervention logic, including overall and specific objectives, intended results and impact, resources made available and procedures applied and paves the way for a substantive evaluation of the APF, to be conducted in a second stage and closely building on phase 1, to review the overall implementation of the APF and its results, as well as the relevance, impact, effectiveness and efficiency of the APF as an instrument for African efforts to manage conflicts on the continent and provide recommendations for the future.

4.4 Audits and monitoring

African peace support operations are - by their nature - complex and sensitive, and the Commission has therefore, since the establishment of the APF, systematically organised independent external ex-post financial audits of each individual PSO Contribution Agreement/Grant. This practice is believed to have contributed to improved AUC Financial management and will therefore be maintained under the APF for the period 2011-2013.

Over the years, the European Commission and the AUC have agreed on a number of concrete measures to strengthen AUC Financial Management and AU-EU cooperation in general. An EC-AUC Aide Memoire on measures to strengthen AUC Financial management was established in August 2009 and has proved to be a useful tool for continuous dialogue on improving AUC Financial management. The Aide Memoire is expected to be renewed in May 2011.

It is clear however that there are financial management and administrative weaknesses on the AUC and RECs/RMs side which need to be addressed as a matter of priority. AUC and RECs/RMs have recognised this need and are taking steps to improve current practice.

Results of the ex-post financial audits (AMIS, AMISEC, ASF) have underlined the difficulties that AUC were faced with in establishing an effective financial management and control system. Ineligibilities have been found in some of these audits and the Commission is currently addressing this issue. AUC management practises are believed to be improving and recent audits of APF contributions to AMISOM have shown positive results.

Financial management practices of RECs are also presenting potential risks. The audit of the MICOPAX I operation (led by ECCAS) have shown important ineligible expenditures and the ongoing audit of the € 20 M Capacity Building programme indicates a clear need for improvements in financial management and internal control in some of the concerned RECs (IGAD and ECOWAS in particular).

The European Commission is currently organising an external Institutional Audit (IA) of the AUC, the results of which will determine the contractual modalities to be used for EU funded programmes. Since June 2010, two IA follow-up missions have confirmed that important progress is being made and a final mission is planned for November 2011, when most reforms should have been finalised.

EC-recruited short-term experts have been financed through the APF (9th and 10th EDF) to assist the AUC and ECCAS in strengthening management of EU funds. Results have been encouraging and this support will therefore be maintained in 2011-2013 with special attention on strengthening relevant African capacities.

Objectives pursued

5.1 Intra-ACP programming

The APF is part of the intra-ACP envelope of the 10th EDF, as one of the "pan-African initiatives" contributing to the implementation of the Joint Africa-EU Strategy. In line with GAERC Conclusions of 10-11 April 2006, an initial amount of €300M had been earmarked for this purpose for an initial period of three years (2008-2010). An additional amount of €300M had also been set aside in the reserve of the intra-ACP envelope to cover any additional needs of the APF for the remaining period of the 10th EDF. This amount is being programmed for the period 2011-2013 to replenish the APF.

As provided for in Article 12(a) of the 10th EDF Implementing Regulation, the Facility is based on a request from the African Union received on 14/03/2011, and endorsed by the ACP-EC Committee of Ambassadors on XX May 2011.

5.2 Overall objectives

The overall objective of the APF is to support peace, stability and security in Africa and provide the basis for long-term sustainable development. Responding to the reiterated priorities of the Joint Africa-EU Strategic Partnership on Peace and Security, and building on lessons learned and past experience, the APF will continue offering a flexible "toolkit" to address in a comprehensive ("continuum"), harmonized and timely manner the challenges posed to peace, stability and security on the African continent.

The Facility will contribute to support African efforts to assume responsibility for maintaining peace and security on their continent by means of substantial, predictable and flexible funding placed at the disposal of the African Union and African sub-regional organisations in order to back their relevant operational and structural efforts.

Building on lessons learned and past experience, an updated Strategic Approach for the APF has been defined. A Joint Concept Note setting the basic programming features has been developed and discussed with African Partners, AU and RECs/RMs, with the objective of enhancing the efficiency of the instrument and to provide it with the necessary flexibility to adapt to a constantly changing context. In line with the priorities of 2nd Action Plan of the Joint Africa-EU Strategy (JAES) in the area of Peace and Security, the APF will continue to support targeted African continental and regional Peace and Security initiatives that address conflict prevention, management, resolution, peace consolidation and post-conflict stabilization, including support for the operationalisation of the APSA. The APF will particularly take into consideration the work underway on the APSA Road Map and the findings of the APSA Assessment, and will also contribute to an enhanced Africa-EU dialogue on challenges to peace and security.

5.3 Specific objectives and activities

Within the framework of the Joint Partnership on Peace and Security and the three priority actions in the Action Plan 2011-2013, the Facility will address the following specific objectives:

- (1) enhanced cooperation and dialogue on challenges to peace and security (Priority action n° 1), with a focus on the prevention, management and resolution of conflicts in Africa, in particular through an enhanced dialogue, consultations, sharing of information and analysis, joint assessment and fact-finding missions as well as exchange of experiences and lessons learned;
- (2) operationalisation of the African Peace and Security Architecture (Priority action n° 2) which will aim in particular at the strengthening of capacity and the effective functioning of various elements within and related to APSA, including the capacity of the AU and sub-regional organisations in the areas of financial management for peace-support operations and planning;
- (3) availability of sustainable and predictable funding (Priority action n° 3) enabling the AU and African sub-regional organizations to plan and conduct peace support operations, including support to preparatory stages of an operation, its deployment and conduct, with due attention to exit strategies.

The APF will specifically support African Peace-support operations, the operationalization of the African Peace and Security Architecture and the Early Response Mechanism.

Overall framework

6.1 Underlying principles

The Facility will continue to be based on the principles of African ownership, African solidarity and Africa-EU partnership.

The principle of African ownership, as exemplified by the fact that only African-led operations can be funded by the APF, are specific features of the APF which distinguish the Facility from other instruments in the domain of Peace and Security.

The principle of African solidarity is based on the recognition that peace and security on the continent will be beneficial to all African nations. In the post-Lisbon context, this solidarity principle is more important than ever. Non-ACP African countries that benefit from greater regional peace and stability will therefore be invited to provide contributions that will strengthen the APF and the impact of its actions on a regional and continental scale.

The principle of Africa-EU partnership is the building block of the APF and the Joint Africa-EU Strategy through its 2nd Action Plan plays a central role in it.

These principles should be further strengthened including through a deepened and more regular dialogue at political and technical level, sharing of analysis and reports, joint fact-finding and assessment missions to inform decisions on peace operations or mediation initiative and on exit strategies.

6.2 Architecture

The APF will be based on the continental framework of the African Peace and Security Architecture (APSA) in which the AU plays the leading and coordinating role, and of which the sub-regional organisations (RECs/RMs) are pillars. A strengthened cooperation between the AU and these organizations as well as an harmonized approach in developing the different components of the APSA are key conditions for a coherent and well functioning continental peace and security framework and will therefore be further supported.

The Facility will remain focused on initiatives, actions and processes undertaken at the continental and sub-regional levels, and should reflect the work underway on the APSA Road Map and the findings of the recently completed APSA Assessment.

6.3 Beneficiaries

The direct beneficiaries of the APF will be the African Union, African sub-regional organisations (RECs/RMs) with a mandate in Peace and Security and relevant institutions/structures within or related to the African Peace and Security Architecture.

Each intervention to be financed by the APF will have to be specifically requested by the AU or by a sub-regional organisation, in which case it should be endorsed by the AU.

6.4 Thematic scope and nature of possible interventions

In line with the priorities of the Joint Africa-EU Partnership on Peace and Security and the recommendations jointly agreed with the African side at the Tripoli Summit in November 2010, the APF will address the following priorities as identified in the 2nd Action Plan of the JAES:

- (1) Priority n° 1 of the Partnership, in particular through enhanced dialogue, consultations, sharing of information and analysis, joint assessment and fact finding missions, exchange of experiences and lessons learned, as well as work towards exit strategies for ongoing African peace support operations funded under the APF; reinforcing dialogue between the AUC and the RECs/RMs with a particular focus on areas such as climate change and security, cross-border co-operation, development of legal instruments, and disarmament issues (including Explosive Remnants of War), as well as specific geographical areas (e.g. Sahel, Gulf of Guinea, Horn of Africa).

- (2) Priority n° 2 of the Partnership, in particular through:
- (a) strengthening African capacities at the continental and regional level by implementing the AU-RECs Roadmap for the operationalization of the APSA that should be adopted in 2011, and focussing on: a) institutional capacity – structural reinforcement of all elements of the APSA; b) training – functional reinforcement through improvement and maintaining of skills of human resources within the APSA, c) specific capacity required for a planned or ongoing PSO (planning, conduct and management, including financial management)
 - (b) support to operationalisation of the Continental Early Warning System
 - (c) support to AU PSD restructuring
 - (d) support to African mediation structures and initiatives
 - (e) support to the African Standby Force, including its civilian component
 - (f) support to AU and SRO's initiatives in the area of post-conflict stabilization, including tackling of cross-border consequences of armed conflicts, and strengthening of relevant capacities of the AU and SROs
 - (g) support to peace and security cooperation between AU and sub-regional organizations;
- (3) Priority n° 3 through support to the preparation, deployment and conduct of African-led Peace Support Operations and Post conflict stabilization missions such as multidimensional missions in support of SSR in post conflict/fragile states.

Through the APF Early Response Mechanism, the APF will be able to: support first stages of mediation actions decided by the AU and REC/RMs, within the framework of preventive diplomacy with regard to a potential crisis (for example, dispute of election results), at the beginning of a sudden emerging crisis or during the resolution of a crisis using a window of opportunity; support identification and fact finding missions decided by the AU or a sub-region with a view to initiating or to complete a strategic planning process of a peace support operation. These missions can be of a civil and/or military nature; support ad hoc and temporary reinforcement of the planning cell responsible of a potential peace support operation as soon as the AU so decides. This reinforcement could be made up first of all by members of the various planning elements of the African Standby Force. It will voluntarily be limited in time in order to encourage the AU to quickly establish the final reporting lines of the operation.

Mainstreaming of the relevant guidelines on Human Rights and the role of women and children in armed conflict, as well as the application of UN-SC Res. 1325 (2000), UN-SC Res. 1820 and UN-SC Res. 1612 (2005) will be supported through the APF, for example through:

- (a) support to the training of peacekeepers on human rights, main principles and opportunities in prevention and reintegration of child combatants and addressing needs of children and women affected by armed conflicts;
- (b) promoting participation of women among observers and civilian personnel in peace missions, as well as in the various structures of the APSA;
- (c) promoting gender component in peace operations (e.g. gender advisers).

6.5 Indicative allocation

In accordance with the thematic scope of the APF and the priorities of the Joint Partnership, the €300M APF envelope will be allocated as follows:

- (1) operationalisation of APSA and Africa-EU dialogue (Priorities n°2 and n°1 of the Joint Partnership) - €40M which will include (not exclusively) a reserve for the ongoing APSA Support Programme and further funds for the AUC Salary Fund.;
- (2) Peace Support Operations (Priority n°3 of the Joint Partnership) – €240M;
- (3) Early Response Mechanism (actions within Priorities n°s 1, 2 and 3 of the Partnership where urgent support is required) - €2M (to complement the ongoing mechanism);
- (4) activities for monitoring, audit, evaluation, lessons learned and visibility will amount to €6M;
- (5) Contingencies - €12M. If in the course of implementation of APF activities, one budget heading is under-spending, a transfer may be made between headings in order to optimise resource allocation. This budget reallocation may be reached through different channels:
 - (a) the Commission can autonomously increase or diminish a budget heading by 20% according to art. 7(4) of 10th EDF implementing regulation;
 - (b) the budget includes €12M contingencies, which can be allocated to any of the established budget line;
 - (c) an addendum to the original Commission decision can be made in accordance with the standard procedures.

The use of contingencies is not considered as an amendment of the financing decision as long as it does not entail a change in the nature of the activities originally proposed. The use of contingencies does not require an addendum to the financing agreement. Contingencies will be used to complement any ongoing APF-funded intervention upon Commission decision, following an AU or REC/RMs request. Where contingencies are used for a new APF intervention, the decision-making procedures outlined in Appendix 1 will apply.

Heading	Component	Previous Allocation under 3-Year Action Programme 2008-2010	Proposed Allocation under 3-Year Action Programme 2011-2013
1	Operationalisation of APSA and Africa-EU dialogue	€ 65M	€ 40M
2	Peace Support Operations	€ 200M	€ 240M
3	Early Response Mechanism	€ 15M	€ 2M
4	Audit, monitoring, evaluation, , lessons learned and visibility	€ 7M	€ 6M
5	Contingencies	€ 13M	€ 12M
	Total	€ 300M	€ 300M

6.6 Decision-making process

As a general rule, the formal decision-making process for each operation funded by the APF will be launched upon a request from the AU and/or from a sub-regional organisation (REC/RMs). When a sub-regional organisation takes an initiative, this initiative shall require the political approval of the AU.

Details of the procedures that will apply are defined in Appendix 1.

Peace Support Operations to be 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 thereof. While seeking this UN endorsement, the decision-making should, however, be flexible enough to go ahead with funding while in the process of UN endorsement. Peace enforcement operations will require a UN mandate.

6.7 Geographic scope

Peace and security challenges often have a regional and trans-boundary dimension. Efforts are being undertaken by the African side to address these challenges through a comprehensive, structured and continental approach.

The continental framework is of particular importance for the effective functioning of APSA, which relies on harmonized and coherent contributions from all African regions, in particular for the Continental Early Warning System and the African Standby Force.

The APSA extends well beyond the geographic scope of the EDF. Complementary efforts are required from non-ACP African countries/regions in the spirit of the Joint Africa-EU Strategy and in respect of the principle of African solidarity. The EU-Africa Joint Coordination Committee of the African Peace Facility of 4 February 2008 agreed on the need for the APF to be pan-African in nature, with the full involvement of all African countries.

In the past, the APF envelope under the 9th EDF was supplemented with a €7.7M contribution from the South Africa National Indicative Programme (2002-2006) that provided support to initiatives in the area of conflict prevention and regional integration, creating synergies with the EDF support⁸. Similar contributions to the activities of the APF under the 10th EDF may be sought, both within the DCI and ENPI, in order to establish synergies through EU development policy instruments and contribute to a continental approach (subject to the conditions at point 7.2).

Non-ACP African countries may provide targeted and self-funded contributions to APF from their own resources, within joint co-financing arrangements, provided for in the 10th EDF Implementing Regulation. They may also wish to contribute to the AU Peace Fund.

6.8 Co-financing

The APF can offer only a partial response to African needs, particularly in the case of PSOs. The AMIS case showed the extent to which burden sharing is essential. Unless the problem of predictability, sustainability and flexibility of the financing of regional organisations when they undertake peace support operations under a UN mandate is addressed, the African side will continue to rely on fragmented, external support, which is provided often in an *ad hoc* manner.

The Additional Voluntary Contributions of EU Member States to the APF – an innovative mechanism set up in 2007 – are a good example of how the challenge of supporting the African peace support efforts can be addressed. This scheme also allowed for the provision of EU support in a more coherent, consolidated manner, reducing transaction costs and administrative burden for the African side.

Building on this example, the APF will continue to be open to Additional Voluntary Contributions that should become a preferred approach for channelling bilateral support of Member States to all operations, initiatives and actions within the thematic scope of the Facility. Implementation modalities will be further developed on the basis of lessons learned.

The European Commission will inform the Member States when the financial weight of a single PSO threatens the internal balance of the APF. In such a case, and if the EU is committed to continue its funding, the Commission will launch a specific call for Voluntary Contributions to further support the specific operation.

The APF will also continue to be open to contributions from other donors and international partners that will be managed in line with co-financing arrangements provided for in the 10th EDF Financial Regulation.

6.9 Eligibility

The following constitutes the compulsory 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. No other costs are excluded. An indicative list of eligible expenditure includes: per diems, rations, medical consumables and facilities, transport, fuel, troop allowances, and communication equipment.

⁸ This programme and a €20M CB programme under the APF were identified and prepared through a single work process and by a single team of sector experts in order to ensure full coherence and compatibility among the individual components. Programme implementation of each component is also harmonised to the largest extent possible (joint Steering Committee, joint Programme Management Unit, common reporting procedures, etc) - while fully respecting the individual characteristics of each funding instrument, such as legal base, contractual arrangements, accounting, reporting, etc.

Payment of these costs will be made to the governments of the Troop Contributing Countries (TCCs) by the implementing agency, i.e. the AU or regional organisations, or directly to the troops on the ground. The responsibility for proper disbursement of the funds to the peacekeepers and the TCCs lies entirely with the implementing organisation under the terms of a "Memorandum of Understanding" (MoU) signed between the implementing organisation and the TCCs. This MoU should be established at the commencement of an operation and be updated when and if necessary.

Implementation arrangements

7.1 Timelines

Pursuant to Article 12(c) of the 10th EDF Implementing Regulation, once the Commission has taken its financing decision on the three-year Action Programme, the Commission shall establish a financing agreement with the African Union. The latter shall countersign the financing agreement by 31 December of the year following the Commission financing decision (N+1 rule). Failing this, the corresponding appropriations must be cancelled.

The implementation period for the financing agreement is 72 months, starting from the date of the signature of the AU. The closure period will be of 24 months.

Any balance of funds remaining available under the EC financing agreement shall be automatically cancelled 6 months after the end of the execution period.

All individual commitments implementing the financing agreement must be concluded at the latest three years (D+3) after the entry into force of the financing agreement. This deadline cannot be extended. The above provision does not apply to contracts relating to audit and evaluation, which may be signed after this date. Once the AU has counter-signed the Financing Agreement, the Commission will have 36 months to commit the €300M available to the APF.

7.2 Individual Commitments

The EC shall deliver its aid to beneficiaries through Contribution Agreements under the system of joint management or via Grant Agreements under centralised management.

Contribution Agreements will be signed for each individual intervention, between the Commission and the implementing organisation, i.e. the AU and/or sub-regional organisations, which have the status of international organisation and are compliant with internationally accepted standards relating to accounting, audit, internal control and procurement procedures ("the four pillars")

The procedures to be used by the implementing organisations, notably with regard to procurement and award of grants, will be defined in the context of the Contribution Agreement.

EU support to organisations which are not compliant with the internationally accepted standards (the four pillars) will be channelled via Grant Agreements. In such cases, EDF procurement rules and procedures will be used in accordance with annex IV of the standard Grant Agreement.

In every case, the standard Contribution Agreement with international organisations or the standard Grant Agreement of the European Commission, will be used as a model. These contracts will outline the modalities of the Commission's support and the beneficiaries obligations for that specific operation, such as duration, budget, reporting requirements, etc.

7.3 Retroactivity

In order to prevent delays and avoid gaps in funding, the AU or other implementing sub-regional organisations may pre-finance certain activities, in accordance with Art. 19 of Annex IV of the Cotonou Agreement. Retroactive financing will only be permitted for expenditures incurred after the date of the request by the international organisation (AU/RECs/RMs), which shall be mentioned in the Special Conditions of the Contribution Agreement to be signed with AU or the sub-regional organisations.

7.4 Performance monitoring

For the overall monitoring of the Peace Facility, a Joint Coordination Committee (JCC) has been established in order to review, inter alia, the general progress of APF implementation. The JCC will monitor the implementation of this Action Programme. The Committee members include representatives of the EU (EC and EEAS) and the AU/RECs/RMs. The JCC is chaired jointly by the AU Commission and the European Commission. Technical meetings, as appropriate, will prepare JCC sessions.

EU and AU Member States will be fully informed on the outcomes of JCC meetings. They could also be associated on an ad hoc basis to the JCC sessions, as has been the practice in the past.

The implementing partner (the AU or a sub-regional organisation) is expected to ensure proper financial reporting and will monitor and verify the accuracy and completeness of financial reporting in accordance with the terms laid down in the Contribution Agreement or in the grant contract. The detailed modalities of the overall monitoring of individual commitments will be specified in those agreements.

As far as specific operations are concerned, the Commission intends to continue using Financial Experts to provide real-time monitoring, and to advise and assist on financial management.

The Commission shall prepare an activity report on the use of the APF funds for information of the Council and the EDF Committee on an annual basis and at the request of the Council or the EDF Committee.

7.5 Audit and Evaluation

The budget of this Action Programme includes an audit provision, which the Commission will use to organise external audits of each operation financed under this programme.

Audit and evaluation contracts may be concluded at any time during both the period of implementation and the period of execution of the financing agreement.

Monitoring, audit and evaluation activities will be contracted through framework contracts which will be concluded by the Commission.

Technical Assistance will be covered under a Service Contract launched in 2011 which will be funded under the first 300m euro allocation of the 10th EDF and is expected to cover APF technical assistance requirements until 2013.

7.6 Lessons learned

Joint "lessons learned" exercises on APF implementation should be held systematically. Their outcomes should be discussed in relevant fora, in particular at the APF Joint Coordination Committee meetings, and recommendations should be drawn up and implemented.

Complementarity of actions and coherence with other EC/EU funding sources

In general, coherence and coordination with other EDF funded activities and EU instruments and initiatives (IfS, DCI, ENPI, CSDP...), as well as with bilateral actions of EU Member States, should be strengthened.

8.1 The European Development Fund

The APF is one source of funding to support stability in Africa. Regional Indicative Programmes (RIPs) and National Indicative Programmes (NIPs) under the EDF, as well as instruments from the EU budget (in particular the Instrument for Stability – see below in 8.2), also provide significant support for conflict prevention, peace-building and post-conflict reconstruction.

In parallel, considerable support is also being provided to strengthen the overall institutional capacities of the main actors of the African Peace and Security Architecture, namely the AU and sub-regional organisations. Within the intra-ACP envelope of the EDF, a major €55M support programme for the African Union (9th EDF) focuses on overall Capacity Building in various sectors of activity of the AU. Additional €30M have been earmarked for a successor programme in the 10th EDF. The overall institutional capacity of the AU is essential for the efficient implementation of the African Peace and Security agenda.

Parallel capacity building support is also being provided to sub-regional organisations under the Regional Indicative Programmes (such as ECOWAS, ECCAS, IGAD) and the European Commission takes specific measures to coordinate identification and preparation of these activities in order to ensure optimal coherence.

8.2 Budget sources: IfS, DCI and ENPI

The APF will act in synergy, complementarity and consistency with other funding sources/instruments. Inter-linkages with the Instrument for Stability are particularly strong and opportunities for synergies should continue to be seized, based on previous and ongoing examples (parallel and complementary APF and IfS support in Darfur, Central African Republic, Somalia,...).

Furthermore, Pan-African synergies and approaches will also be sought in order to deliver on the commitment jointly taken in the framework of the Africa-EU Strategic Partnership to treat Africa as one. A successful example to build on in this regards is the contribution from the South Africa National Indicative Programme (€7.7M) referred to in paragraph 6.7.

Further contributions should be sought from the DCI envelope pursuant to Article 10 (a) for South Africa, as well as from the ENPI pursuant to Article 2.2 points (r) and (z) of that Regulation for North African countries, subject to agreement of these countries. Such contributions must be used in a manner consistent with the objectives of both the DCI and ENPI regulations and in accordance with the procedures set out in these instruments. These contributions can not be channelled through the APF, but should be complementary and fully coherent with activities funded through the APF.

Inter-service EC cooperation will be further strengthened in view of reinforcing coherence and consistency of support provided under the APF and other EDF funding sources (i.e. RIPs), the IfS, and the ENPI and DCI if relevant.

8.3 EU Member States activities

Significant backing for the African Peace and Security agenda is channelled bilaterally by the EU Member States both to operational activities such as Peace Support Operations (e.g. AMIS, FOMUC, and AMISOM), as well as to Capacity building and other related activities at the continental and regional level. In this regard, too, efforts will be made to further strengthen cooperation and to reinforce coherence and consistency of support provided by the EU and the national level.

Donor co-ordination

The APF support will act in synergy and be mutually reinforcing with support from other funding sources, including non-EU states and other multi-lateral organisations and with bilateral activities of EU Member States.

The APF is among the leading contributors to peace support operations and to the operationalisation of APSA. An increasing number of EU Member States as well as non-EU international partners also provide substantial bilateral support to these areas.

Donor coordination and a continuous exchange of information, which is particularly important in the area of peace and security, takes place on a continuous basis, at multiple levels and in different formats, i.e. through the multinational / multilateral AU Partners' Group (AUPG) bilaterally, intra-EU, intra-UN and within the G8 context.

The European Commission together with the EU Member States are striving to enhance coordination within the EU and with other international partners, with the aim of enhancing predictability, transparency and alignment and reducing transaction costs for all stakeholders.

9.1 EU coordination

The EU coordination on APF-supported operations and activities takes place in Brussels, in Addis Ababa and on the ground.

In Brussels the coordination is inter- and intra-institutional, taking place in particular within the Council and the recent creation of EEAS is expected to further strengthen the day-to-day coordination between the Commission and the Council Secretariat

In Addis Ababa, coordination among the different partners (within the EU and with other international partners) is facilitated by the EU Delegation to the African Union in the framework of the AUPG. Since early 2009, the EU Delegation has been chairing the AUPG subgroup on Peace and Security, which provides a structured forum for information sharing on AU matters in the area of Peace and Security, and related initiatives, experiences, best practices and lessons learned. The group aims at working towards more harmonised, complementary, coordinated or joint approaches vis-à-vis the AU/AUC, including, where appropriate, by identifying and implementing joint courses of action regarding specific fields of their support.

Coordination also takes place on the ground in countries where APF-supported Peace Operations are deployed (in Nairobi for AMISOM, for example).

It is expected that the Joint Africa-EU Strategy, and in particular the Partnership on Peace and Security, will further enhance EU coordination in peace and security through its regular dialogue with the AU.

9.2 Overall coordination

The APF, and more specifically the interventions it supports, are regularly discussed with the UN, particularly within the framework of the EU-UN Steering Committee in Crisis Management.

The G8 also provides a forum for coordination of policies and activities in support of the African Peace and Security agenda. A specific G8+ working-group – the Africa Clearing House – offers a framework for donors to share information on specific support programmes in Africa. These frameworks, which provide an opportunity for strengthened coordination of APF-funded operations and activities with those of other donors, will be further encouraged.

Coherence and coordination of APF support with the work of the Peacebuilding Commission will be sought when relevant.

Agreed format for background documents, requests and reporting

The proposed formats for background documents, requests and reporting are attached in Appendices 3, 4 and 5.

The EC will continue working with beneficiaries and other donors towards the harmonization of reporting procedures which will ultimately apply to the APF.

Communication and visibility

Contracts for communications and visibility will be awarded and implemented by the Commission services under centralised management and in accordance with 10th EDF rules and procedures.

APPENDICES:

1. Decision-making procedures
2. Format for background documents
3. Format for AU/SROs Request
4. Obligations regarding information and financial narrative reports
5. Logical Framework
- 6.

APPENDIX I

DECISION-MAKING PROCEDURES FOR THE AFRICAN PEACE FACILITY, 2011-2013

(10th EDF)

In accordance with Article 12 of Regulation (EC) N° 617/2007, the present Annex describes decision-making procedures for interventions to be funded under the Three-year Action Programme for the African Peace Facility, 2011-2013. Each intervention will be adopted by a Commission decision, on the basis of a detailed budget, organization chart and timeframe for implementation.

I. PROCEDURES APPLYING TO APF INTERVENTIONS

Procedures that will apply to APF-funded interventions are the following:

- (1) standard procedure for non-urgent interventions
- (2) accelerated procedure for urgent interventions
- (3) Procedure for ERM

Specific provisions for "small" operations (up to €10M) will apply.

1. Standard procedure for Headings 1 and 2

Standard procedure will apply to APF interventions considered, on the basis of an assessment by the Commission, as non-urgent.

Upon a request from the African Union or a sub-regional organization, the Commission will circulate an Information Note on the intervention envisaged, with its assessment. On the basis of the Note, the Commission will consult the relevant Council preparatory working groups and will seek the approval of the PSC on political appropriateness of the intervention requested.

As a general rule, for support to all new Peace operations and for all activities above €10 million PSC approval on political appropriateness will be sought at a PSC meeting.

For contributions to existing Peace operations of up to €10M and for all other activities of up to €10 million the Commission will request the Council to accept consultation of the relevant working groups and granting the PSC approval on political appropriateness by a written procedure, on the basis of an Information Note circulated by the Commission, with a deadline of minimum 10 working days for the consultation process.

If requested by the blocking minority as defined in article 8 of the Internal Agreement, the Council can oppose the choice of the standard procedure within 5 working days from the launch of the procedure (distribution of an Information Note) and propose to follow an accelerated procedure.

2. Accelerated procedure for Headings 1 and 2

Accelerated procedure will apply to APF interventions considered, on the basis of an assessment by the Commission, as requiring an urgent response.

Upon a request from the African Union or a sub-regional organization, the Commission will circulate an Information Note on the intervention envisaged, with its assessment, for information of the relevant Council preparatory working groups and as the basis for the approval of the PSC. The Commission will subsequently seek the approval of the PSC on the political appropriateness of the intervention.

The PSC shall pronounce itself on political appropriateness for support to all new Peace operations and for all activities above €10 million as a general rule at a meeting. The Commission will request the Council to do its utmost to ensure that the PSC gives its approval on political appropriateness as soon as possible.

In cases when the relevant APF point can not be included in the agenda of the PSC within 5 working days from the distribution of an Information Note to the Members of the PSC, the Commission might request the Council to consider the PSC approval on political appropriateness by a written procedure, on the basis of the Note, with the deadline of up to 5 working days from the date of the distribution of the note.

Within the Commission services, priority will be given to this intervention in view of the soonest adoption of the support by the Commission Decision.

For contributions to existing peace operations of up to €10M and for all other activities of up to €10 million the Commission will request the Council to accept information of the relevant working groups and PSC approval on political appropriateness by a written procedure, on the basis of an Information Note circulated by the Commission, with a deadline of 5 working days from the date of the distribution of the note.

If requested by the blocking minority as defined in article 8 of the Internal Agreement, the Council can oppose the choice of the accelerated procedure within 3 working days from the launch of the procedure (distribution of an Information Note) and propose to follow a standard procedure.

3. Early Response Mechanism (ERM)

The ERM will finance interventions that, by their nature, require immediate support.

The ERM is subject to consultations of relevant preparatory Council working groups, and will require a specific PSC approval on political appropriateness. Upon the Commission decision, the ERM will become operational, i.e. will be directly accessible to beneficiaries further to the approval of each specific action eligible under the ERM by the Commission.

The PSC and the relevant Council working groups will be kept informed on activities supported by the Mechanism.

II. AUDIT, EVALUATION, MONITORING, LESSONS LEARNED, VISIBILITY

Implementation-related activities such as evaluation, monitoring, audit, lessons-learned, visibility will be decided by the Commission only, and will not be submitted to the decision-making process required for substantive APF interventions.

III. CONTINGENCIES

Contingencies will be used to complement any ongoing APF funded intervention upon Commission decision, following an AU or SRO request. In case of the use of contingencies for a new APF intervention, the decision-making procedures outlined above will apply.

APPENDIX II

INFORMATION NOTES ON INTERVENTIONS TO BE FUNDED THROUGH THE AFRICAN PEACE FACILITY, 2011-2013 (10th EDF)

The Commission will prepare Information notes for the Council as the basis for information/consultation of the relevant Council preparatory working group and the PSC decision on political appropriateness on the proposed APF interventions, submitted to standard and accelerated procedures described in Annex 1.

These Information notes shall include:

- (1) – Introduction
- (2) – Political background/Situation analysis
- (3) – Reference to an AU/SRO request
- (4) – EC assessment
- (5) – Proposed EC Contribution, including implementation period
- (6) – Exit/Transition strategy
- (7) – Updated financial summary tables

APPENDIX III

REQUESTS FOR FUNDING THROUGH THE AFRICAN PEACE FACILITY, 2011-2013 (10th EDF).

The implementing organisation shall submit to the EC a specific financing request for every activity for which it seeks financing.

Each request that the AU or SRO submit to the attention of the EC in relation to APF funding should include:

- (1) – the addressee, in this case the EC (EuropeAid – Development and Cooperation Directorate General) and a reference to the APF as the source of funding;
- (2) – the name of the action to finance, a brief description of the action stating: its objectives, a proposed indicative allocation, activities foreseen and the implementation period.

APPENDIX IV

OBLIGATIONS REGARDING INFORMATION, FINANCIAL AND NARRATIVE REPORTS FOR INTERVENTIONS FUNDED THROUGH THE AFRICAN PEACE FACILITY, 2011-2013 (10th EDF)

The implementing organisation has the obligation of informing/reporting to the Commission of/about the status of implementation of funded programmes in accordance with art. 2 of the general conditions of the standard Contribution Agreement or art. 2 and art. 15 of the general conditions of grant contracts.

Relevant paragraphs of the General Conditions have been reported hereafter.

The Organisation shall provide the Contracting Authority with full information on the implementation of the Action. The Organisation shall [...] draw up progress reports and a final report. These reports shall consist of a narrative part and a financial part. Reporting, narrative as well as financial, shall cover the whole of the Action, regardless of whether this Action is wholly financed or co-financed by the Contracting Authority.

The report shall be laid out in such a way as to allow comparison of the objective(s), the means envisaged or employed (in particular all expenses actually incurred by the Organisation), the results expected and obtained and the budget details for the Action. The level of detail in any report should match that of the Description of the Action and of the Budget for the Action.

The narrative report shall directly relate to the signed contract and shall at least include:

- summary and context of the Action;
- activities carried out during the reporting period (i.e. directly related to the Action description and activities foreseen in the contract);
- difficulties encountered and measures taken to overcome problems;
- changes introduced in implementation;
- achievements/results by using the indicators included in the contract;
- work plan for the following period including objectives and indicators of achievement.

Any additional reporting requirement will be set out in the Special Conditions.

If the Organisation fails to supply a final report by the final report deadline laid down in the contract and fails to furnish an acceptable written explanation of the reasons why it is unable to comply with this obligation, the Contracting Authority may refuse to pay any outstanding amount and recover any amounts unduly paid.

The Organisation and the Contracting Authority (the “Parties”) will further endeavour to promote close collaboration and exchange of information on the Action. The Organisation will invite the European Commission to join any donor committee which may be set up in connection with Multi-Donor Actions.

In any event the Organisation shall inform the Contracting Authority without delay of any circumstances likely to hamper or delay the implementation of the Action.

APPENDIX V

**THE AFRICAN PEACE FACILITY, 2011-2013 (10th EDF)
LOGICAL FRAMEWORK**

Intervention logic	Objectively verifiable indicators	Sources of verification	Assumptions / Risks
<p><u>General objectives</u></p> <p>Support peace, stability and security in Africa</p>	<ul style="list-style-type: none"> • Number and quality of conflict prevention, management and resolution activities and peace negotiations supported by APF • Economic development in (former) conflict countries 	<ul style="list-style-type: none"> • AU Reports on Contribution Agreements/Grants • AU and RECs/RMs Annual reports • EC/AU Audit and Evaluation reports • Joint AU/RECs missions reports • EC Technical Assistance reports • EU/Africa dialogue • EU/EC Delegations reports • EU Council bodies reports • UN and WB reports • OECD Reports • Media 	<ul style="list-style-type: none"> • Peace opportunities do exist in conflict situations • Pivotal role of the AU within the African Peace and Security Architecture recognised • AU is sending mediation and fact finding missions

Intervention logic	Objectively verifiable indicators	Sources of verification	Assumptions / Risks
<p>Specific objective</p> <ul style="list-style-type: none"> • ENHANCED COOPERATION AND DIALOGUE ON THE CHALLENGES TO PEACE AND SECURITY (PRIORITY ACTION N° 1) • OPERATIONALISATION OF THE AFRICAN PEACE AND SECURITY ARCHITECTURE (PRIORITY ACTION N° 2) 	<ul style="list-style-type: none"> • NUMBER OF JOINT AU/EC MISSIONS • INTENSIFICATION OF REGULAR OPERATIONAL CONTACTS BETWEEN THE TWO COMMISSIONS, C2C MEETINGS, EU MISSIONS TO AU, AU MISSIONS TO EU • ORGANISATION OF LESSONS LEARNT SEMINARS, JOINT COORDINATION COMMITTEE MEETINGS, PSC TO PSC MEETINGS, JOINT EXPERT GROUP MEETINGS • INCREASED NUMBER OF STAFF WORKING IN THE PEACE AND SECURITY DIRECTORATE AND EQUIVALENT UNITS IN RECS/RMs • NUMBER OF STAFF TRAINED AND PROPORTIONATE TO WORKLOAD/MANDATE IN AUC/RECS/RMs • PRESENCE OF INTERNAL STATUTE RULES OF CONDUCT • WELL-ESTABLISHED AND APPLIED FINANCIAL REGULATIONS • REPORTS AND REQUESTS RECEIVED ON TIME, RESPECT FOR DEADLINES 	<ul style="list-style-type: none"> • AU Reports on Contribution Agreements/Grants • AU and RECs/RMs Annual reports • EC/AU Audit and Evaluation reports • Joint AU/RECs missions reports • EC Technical Assistance reports • EU/Africa dialogue • EU/EC Delegations reports • EU Council bodies reports • UN and WB reports • OECD Reports Media 	<ul style="list-style-type: none"> • FAVOURABLE POLITICAL ENVIRONMENT FOR PEACE TALKS • GOOD AND RELIABLE WORKING RELATIONSHIP BETWEEN THE TWO COMMISSIONS, RESPECTIVE MSs AND WITH AU PARTNER GROUP • SOUND MANAGEMENT DOCTRINE IN PLACE: RIGOROUS FINANCIAL REGULATIONS AND PRACTICES ESTABLISHED • AVAILABILITY OF PEACE KEEPERS FOR PEACE SUPPORT OPERATIONS • EXISTENCE OF UN SECURITY COUNCIL RESOLUTIONS • AU PARTNERS POLITICAL ENGAGEMENTS IN FINANCIALLY SUPPORTING AFRICAN MAN-MADE CRISES • DONORS' CONTRASTING APPROACHES TO PEACE & SECURITY ISSUES IN AFRICA • LACK OF COMMON AU/EU POSITION TO PEACE & SECURITY ISSUES IN AFRICA • POLITICAL ENVIRONMENT REMAINS CONDUCIVE FOR

Intervention logic	Objectively verifiable indicators	Sources of verification	Assumptions / Risks
<ul style="list-style-type: none"> AVAILABILITY OF SUSTAINABLE AND PREDICTABLE FUNDING FOR PEACE SUPPORT OPERATIONS (PRIORITY ACTION N° 3) 	<ul style="list-style-type: none"> CONSOLIDATED AND WELL FUNCTIONING REC/RMS LIAISON OFFICES TO AU AND AU LIAISON OFFICES TO REC/RMS NUMBER OF ACTIVITIES CARRIED OUT BY AU AND REC/RMS IN OPERATIONALIZATION OF APSA NUMBER OF MEDIATION AND FACT FINDING MISSIONS SUPPORTED THROUGH ERM NUMBER OF OPERATIONS CONDUCTED STUDIES AND ASSESSMENT OF EXIT STRATEGY, CLOSE COORDINATION WITH UN NUMBER OF JOINT ASSESSMENT AND FACT FINDING MISSIONS REGULAR CONTACTS AND COORDINATION WITH THE AU PARTNERS GROUP IN ADDIS ABABA AND IN THE EU COUNCIL IN BRUSSELS, AND IF RELEVANT IN THE RESPECTIVE REC ESTABLISHMENT OF UNITS WITHIN THE AU COMMISSION WHICH WOULD ENABLE THE AU TO 	<ul style="list-style-type: none"> AU Reports on Contribution Agreements/Grants AU and RECs/RMs Annual reports EC/AU Audit and Evaluation reports Joint AU/RECs missions reports EC Technical Assistance reports EU/Africa dialogue EU/EC Delegations reports EU Council bodies reports UN and WB reports OECD Reports Media 	<p>PEACE SUPPORT OPERATION</p> <ul style="list-style-type: none"> SUFFICIENT ADDITIONAL SUPPORT FROM OTHER SOURCES FOR PEACE SUPPORT OPERATIONS

Intervention logic	Objectively verifiable indicators	Sources of verification	Assumptions / Risks
	HAVE A CAPACITY IN ANTICIPATION AND PLANNING		
<p>Results</p> <ul style="list-style-type: none"> • OPTIMAL WORKING RELATIONS AND COORDINATION BETWEEN THE TWO COMMISSIONS • EFFECTIVE FUNCTIONING OF THE APSA ORGANS • INCREASED CAPABILITY TO RESPOND QUICKLY AND EFFICIENTLY TO OPPORTUNITIES FOR PEACE, WHICH REQUIRES THE SENDING OF A MEDIATION MISSION OR A PEACE SUPPORT FORCE • INCREASED COORDINATION AMONG DIFFERENT PARTNERS TO ENSURE AVAILABILITY AND PREDICTABILITY OF THE FUNDING TO SUSTAIN PSOS 	<ul style="list-style-type: none"> • IDENTIFIED CONTACT AT EACH LEVEL TO BE ABLE TO HAVE A DAY TO DAY WORKING RELATIONSHIP • ACHIEVEMENT OF A HOMOGENEOUS FUNCTIONAL CAPACITY AMONG THE DIFFERENT APSA ORGANS • NUMBER OF ACTIONS AGREED AND FINANCED THROUGH THE APF IN A TIMELY MANNER, RETROACTIVITY USED IN EXCEPTIONAL CASES ONLY, FULL-HAND USE OF THE EARLY RESPONSE MECHANISM • NUMBER OF COORDINATION MEETINGS HELD AMONG PARTNERS 		<ul style="list-style-type: none"> • WORKING CONDITIONS BETWEEN THE TWO COMMISSIONS, THE EU COMMISSION AND EU MS AND AU COMMISSION WITH AU PARTNER GROUP REMAIN SMOOTH • STAFF LEVELS IN AU AND SUB REGIONAL ORGANISATIONS REMAIN ADEQUATE AND WELL-TRAINED • SOUND MANAGEMENT DOCTRINE STAYS IN PLACE: RIGOROUS FINANCIAL REGULATIONS AND PRACTICES ESTABLISHED • REGULAR POLITICAL AND OPERATIONAL CONTACTS AMONG ALL PARTNERS CONTINUE • TCCs ALWAYS AVAILABLE IN "LENDING" PEACE KEEPERS FOR PEACE SUPPORT OPERATIONS • AU PARTNERS CONTINUE TO REMAIN POLITICALLY COMMITTED IN FINANCIALLY SUPPORTING AFRICAN MAN-MADE CRISES

Intervention logic	Objectively verifiable indicators	Sources of verification	Assumptions / Risks
Activities	Inputs and resources		
Support to AU-led Peace Support Operations	Peace Support Operations 240,000,000		
	Operationalisation of the APSA 40,000,000		
Support to the structure and functioning of the APSA	Early Response Mechanism 2,000,000		
	Monitoring, Visibility, Audits and Evaluation 6,000,000		
Support to the activities operated by the organs composing the APSA	Contingencies 12,000,000		
	TOTAL 300,000,000		
Technical Assistance for the implementation of Peace Facility activities			

APPENDIX VI

**APF FINANCIAL OVERVIEW UNDER THE 9th and 10th EDF
- INDIVIDUAL COMMITMENTS BREAK-DOWN -**

Last Update 19/05/2011

Total Earmarked Envelope for	Operations/Actions	Funds Contracted (Million Euro)
Peace Support Operations:		
€ 400m (9 th EDF)	AMIS (Darfur / SUDAN)	302,7
+	FOMUC/MICOPAX (CAR)	87
€ 200m (10 th EDF)	AMISEC/MAES (COMOROS)	8,5
	AMISOM (SOMALIA)	208,4
Capacity Building Programmes:		
€ 27m[2] (9th EDF)	AU Commission	6,0
+	ASF workshops	1
€ 65m (10 th EDF)	AU/ REC/ APSA	20
	Support to AUC Personnel in PSD	10,0
	APSA Support [3]	40,0
	Training Centre [3]	10
Early Response Mechanism		
€ 15m (10 th EDF)	ERM	15
Other € 33m (Audit, Evaluation, TA)	Audit, Evaluation, TA, Contingencies [4]	5,6
TOTAL € 740		€ 715

[1] This figure includes € 8.3m foreseen for contingencies.

[2] In addition to this amount, a € 7.5m South Africa Contribution has been signed in February 2007 for Capacity Building in Conflict prevention in Africa. So far € 5.6m have been paid.

[3] the APSA Support Programme and the Training Centre support are in the pipeline and should be approved by May 2011 the first and during the second semester of 2011 the second.

[4] €7m of contingencies from the 10th EDF have been already used for AMISOM V