



Council of the
European Union

036203/EU XXVI. GP
Eingelangt am 26/09/18

Brussels, 26 September 2018
(OR. en)

12343/18

ACP 77
RELEX 771
FIN 687
COAFR 224
CFSP/PESC 846
ONU 73

NOTE

From:	General Secretariat of the Council
To:	Delegations
No. prev. doc.:	12341/18
Subject:	Amendment No 4 to the 2017-2018 Action Programme of the African Peace Facility

1. On 26 September 2018, the Permanent Representatives Committee approved Amendment No 4 to the 2017-2018 Action Programme of the African Peace Facility (APF).
2. In line with Article 15(b) of Council Regulation (EU) 2015/322 of 2 March 2015 on the implementation of the 11th European Development Fund, Amendment No 4 to the Action Programme annexed to this note can now be adopted by the Commission.

2017-2018 Action Programme of the African Peace Facility

Amendment No 4

INFORMATION FOR POTENTIAL GRANT APPLICANTS**WORK PROGRAMME FOR GRANTS**

This document constitutes the work programme for grants in the sense of Article 110(2) of the Financial Regulation applicable to the EDF in accordance with Article 37 of the Regulation (EU) 2015/323 in the following sections concerning grants awarded directly without a call for proposals: 5.4.1. "Grant – direct award (direct management)".

1. Title/basic act/ CRIS number	2017-2018 action programme of the African Peace Facility (APF) CRIS number: FED/2016/039-433 financed under the 11 th European Development Fund (EDF)	
2. Zone benefiting from the action/location	African continent	
3. Programming document	2017-2018 Action Programme of the African Peace Facility	
4. Sector of concentration/ thematic area	Peace and Security	DEV. Aid: Yes ¹ (results 1 and 2)

¹ Official Development Aid is administered with the promotion of the economic development and welfare of developing countries as its main objective.

5. Amounts concerned	<p><i>Total estimated cost: EUR 576 085 128.50</i></p> <p><i>Total amount of EDF contribution: EUR 561 356 616</i></p> <p><i>The Commission will be entrusted with the responsibility of managing the following contributions:</i></p> <p><i>EUR 583 500² contribution from the Grand Duchy of Luxembourg in support of the G5 Sahel Joint Force, as per Transfer Agreement ACP/FED/2017/39433/LU signed on 7 March 2018.</i></p> <p><i>EUR 335 512.50³ contribution from the Grand Duchy of Luxembourg in support of the G5 Sahel Joint Force, as per Transfer Agreement ACP/FED/39433/LU signed on 14 May 2018.</i></p> <p><i>EUR 972 500⁴ contribution from the Czech Republic in support of the G5 Sahel Joint Force, as per Letter of Intent signed on 18 June 2018.</i></p> <p><i>EUR 3 890 000⁵ contribution from the Kingdom of the Netherlands in support of the G5 Sahel Joint Force, as per Transfer Agreement ACP/FED/2018/39433/NL signed on 19 July 2018.</i></p> <p><i>EUR 5 543 250⁶ contribution from the Kingdom of Denmark in support of the G5 Sahel Joint Force, as per Letter of Intent signed on 29 June 2018.</i></p> <p><i>EUR 972 500⁷ from the Kingdom of Belgium in support of the G5 Sahel Joint Force, as per Transfer agreement ACP/FED/2018/39433/BE signed on 7 July 2018.</i></p> <p><i>EUR 2 139 500⁸ from the United Kingdom of Great Britain and Northern Ireland in support of the G5 Sahel Joint Force, as per Transfer Agreement ACP/FED/2018/39433/UK signed on 7 August 2018.</i></p> <p><i>EUR 875 250⁹ from the Republic of Finland in support of the G5 Sahel Joint Force, as per Transfer Agreement ACP/FED/2018/39433/FI signed on 4 May 2018.</i></p>
-----------------------------	---

-
- ² Excluding a lump sum of EUR 16 500 to cover the Commission's administrative costs.
- ³ Excluding a lump sum of EUR 9 487.50 to cover the Commission's administrative costs.
- ⁴ Excluding a lump sum of EUR 27 500 to cover the Commission's administrative costs.
- ⁵ Excluding a lump sum of EUR 110 000 to cover the Commission's administrative costs.
- ⁶ Excluding a lump sum of EUR 156 750 to cover the Commission's administrative costs.
- ⁷ Excluding a lump sum of EUR 27 500 to cover the Commission's administrative costs.
- ⁸ Excluding a lump sum of EUR 60 500 to cover the Commission's administrative costs.
- ⁹ Excluding a lump sum of EUR 24 750 to cover the Commission's administrative costs.

6. Aid modalities and implementation modalities	Direct Management (grants and procurement of services) with African Regional Economic Communities and services contractors.			
	Indirect management with the African Union Commission (AUC) and/or African Regional Economic Communities and Regional Mechanisms (RECs/RMs) having passed the pillar assessment.			
	<i>Indirect management with Expertise France and the Deutsche Gesellschaft für internationale Zusammenarbeit (GIZ).</i>			
	Indirect management with the United Nations Secretariat and the Office of the United Nations High Commissioner for Human Rights (OHCHR)			
7 a) DAC code	15230			
b) Main Delivery Channel	Multilateral Organisations - 40000			
8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective
	Participation development/good governance	<input type="checkbox"/>	x	<input type="checkbox"/>
	Aid to environment	X	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	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"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	x	<input type="checkbox"/>	<input type="checkbox"/>

9. Global Public Goods and Challenges (GPGC) thematic flagships	N/A.
10. Sustainable Development Goals (SDGs)	SDG 16: Promote just, peaceful and inclusive societies.

SUMMARY

This action programme contributes to the Peace and Security component of the Africa-EU Partnership via the implementation of actions for the period 2017-2018 funded by the African Peace Facility (APF) under the European Development Fund (EDF).

The EU Global Strategy¹⁰ defines Peace and Security as one of the vital interest of the EU. It also states that security at home entails a parallel interest in peace in the EU's neighbouring and surrounding regions. The African continent continues to be marked by conflicts of various nature (with roots in ethnic tensions, deficient governance, lack of respect for human rights, hunger, poverty, impacts of climate change, disputes around access to natural resources) that not only hamper economic and social development, but also drive population displacement. Six out of the top ten source countries for refugees are African, and a large share of refugees, migrants and internally displaced in Africa remain on the continent. Terrorism has also been on the increase as a consequence of the rise of extremist groups like Boko Haram, Al Shabaab and Al Qaeda. Achieving peace and security in Africa is critical not only to the overall rise and development of the continent, but also to maintaining stability in Europe.

¹⁰ Shared Vision, Common Action: A Stronger Europe. A Global Strategy for the European Union's Foreign and Security Policy. June 2016.

Sustainable peace can only be achieved through comprehensive agreements rooted in regional and/or international partnerships. The African Union (AU) ambition is to achieve a peaceful and secure Africa, and is intent on putting in place functional mechanisms for peaceful prevention and resolution of conflicts with the goal to "silence the guns by 2020". The Joint Africa EU Strategy (JAES) is the basis for AU-EU partnership on peace and security, which is underpinned by the principle of "African solutions for African problems". The JAES, supports, mainly through the APF, the operationalisation of the African Peace and Security Architecture (APSA), which provides a continental framework within which the AUC, Regional Economic Communities (RECs) and Regional Mechanisms (RMs) contribute to prevent, manage and resolve conflicts in Africa.

The present Action Programme is relevant for the United Nations 2030 Agenda for Sustainable Development. It contributes primarily to the progressive achievement of SDG 16, in particular to its first target ("16.1. Significantly reduce all forms of violence and related death rates everywhere"). It will contribute to promote peaceful and inclusive societies for sustainable development (SDG 16) by supporting African-led efforts to silencing the guns by 2020 and therefore reducing deaths and forced displacement due to violent conflict on the continent. It will achieve this by (1) strengthening the institutional capacities of the AUC and RECs so that the targets defined in the APSA roadmap 2016-2020 can be met; (2) supporting better mediation and conflict prevention management by the AU and the RECs so that an increasing number of conflicts are contained and/or avoided in a timely manner through; and (3) Supporting an early and effective deployment of African troops so that the African-led Peace Support Operations are instrumental in ending and/or containing conflict in full respect of Human Rights and international humanitarian law.

The programme will be implemented primarily through indirect management with the African Union, and through grant or indirect management agreements with RECs/RMs, with Member States' agencies, with the United Nations Secretariat, and with the Office of the United Nations High Commissioner for Human Rights (OHCHR). Service contracts will be procured for technical assistance, audit and evaluation. An administrative arrangement with the JRC is also foreseen to provide further technical support to the AUC in the area of a continent wide conflict early warning system.

1 CONTEXT

1.1. Sector/Country/Regional context/Thematic area

Conflict is the main driver of the ongoing global migration crisis that has displaced more than 65 million people. According to the Office of the United Nations High Commissioner for Refugees (UNHCR)¹¹, 6 out of the top 10 source countries for refugees are African States¹². Of these, 5 are affected by longstanding conflicts. Besides being a root cause of migration, conflicts continue to hamper progress in the economic and social development in Africa. No development can happen in an insecure environment, but in turn, security policy will always fall short of its expectations if it is not accompanied by the implementation of sound development strategies. While the current situation is one with fewer conflicts in the continent as compared to the previous decades, crises are more intense, far deadlier and often of a different, more regional and more diffuse nature than before. They can also impact on regions well beyond Africa, including the European Union. Therefore, achieving peace and security in Africa is critical not only to the overall rise of the continent, but also to maintaining stability in Europe.

¹¹ <https://s3.amazonaws.com/unhcrsharedmedia/2016/2016-06-20-global-trends/2016-06-14-Global-Trends-2015.pdf> consulted on 19 September 2016.

¹² Somalia, South Sudan, Sudan, Democratic Republic of Congo, Central African Republic, Eritrea.

1.1.1. Public Policy Assessment and EU Policy Framework

The promotion of Peace and Security is one of the key objectives enshrined in the AU's Constitutive Act adopted on 11 July 2000, which also articulates the link between security and development in its preamble. In order to achieve this objective, the Protocol Relating to the Establishment of the Peace and Security Council of the African Union (AU PSC) created in 2002 the African Peace and Security Architecture (APSA). The APSA provides a continental framework within which the AUC, Regional Economic Communities (RECs) and Regional Mechanisms (RMs)¹³ contribute to prevent, manage and resolve conflicts in Africa. The APSA relies on the functioning of key institutions such as the AU PSC, supported by the AU Commission (AUC), a Panel of the Wise, a Continental Early Warning System (CEWS), an African Standby Force (ASF) and a Peace Fund. RECs and RMs constitute the building blocks of this architecture, collaborating closely with AUC to ensure a common and tailored African response is delivered. In addition, given the evolving nature of transnational threats, RECs/RMs are not always the most relevant actors for intervention since countries affected belong to several of these organisations. As a consequence, new sub-regional organisations carrying out a peace and security operation with an AU PSC mandate have emerged and seek international support to tackle these new challenges. Although they are not formally part of the APSA, they managed peace support operations which are also endorsed by the AU.

The AU's Agenda 2063¹⁴ outlines the strategic framework for the socio-economic transformation of the continent over the next 50 years. Its aspiration 4, "a peaceful and secure Africa", aims at putting in place functional mechanisms for peaceful prevention and resolution of conflicts in such a way that by 2020 all guns will be silent. This is a commitment that has been developed in the AU initiative "Silencing the guns by 2020" adopted in 2014.

¹³ Currently, the following organisations are part of the APSA by virtue of having signed 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), the South African Development Community (SADC).

¹⁴ The Agenda 2063: The Africa we want was 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 on 25 May 2013.

The APSA Roadmap 2016-2020 is the strategic document paving 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: conflict prevention, crisis and conflict management, post-conflict reconstruction and peace building, strategic securities issues, and coordination and partnerships.

The very foundation of the European Union (EU) lies in efforts to overcome divisions and promote peace. Article 21 of the Lisbon Treaty establishes the aim to preserve peace, prevent conflict and strengthen international security as a core aim of the EU's external action. The EU Global Strategy defines Peace and Security as one of the vital interests of the EU. It also links 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 that framework, the Global Strategy adopts an integrated approach to conflicts as one of the five priorities of the EU's external action. This requires the EU to intervene at all stages of the conflict cycle, acting promptly on prevention, responding responsibly and decisively to crises, investing in stabilisation, and avoiding premature disengagement. The EU recognises that it cannot solve conflicts alone. Sustainable peace can only be achieved through comprehensive agreements rooted in broad, deep and durable regional and international partnerships.

The New European Consensus on Development¹⁵, considers security and development as important and complementary aspects of EU relations with third countries. This reflects recognition that unless security issues are dealt with, the EU faces an ever-increasing demand for humanitarian aid and an inability to tackle deep-seated poverty in insecure areas. The security situations have also led to an increasing flow of migrants/refugees to Europe from several African countries.

¹⁵ Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the European Commission: 'The New European Consensus on Development – Our World, Our Dignity, Our Future' 9459/17, OJ C 210 of 30.6.2017.

The EU has a wide array of external policies, instruments and tools at its disposal to address political and security challenges, ranging from diplomacy (statements, demarches, mediation, facilitation of dialogue, participation in relevant international fora) and EU external cooperation instruments (both thematic and geographical), to actions under the Common Foreign and Security Policy (CFSP), including regular political dialogues with third countries and international organisations, restrictive measures (sanctions), appropriate measures on development cooperation under Article 96 of the Cotonou Agreement, EU Special Representatives, disarmament and non-proliferation activities, and civilian and military crisis management missions under the Common Security and Defence Policy (CSDP).

The resolve of African partners to promote peace and security on the continent has been strongly supported by the EU from the outset, both politically and financially. The Joint Africa-EU Strategy (JAES), adopted in Lisbon in 2007, defined peace and security as one of the eight areas of partnership (the Africa-EU Peace and Security Partnership). The intent of the partnership is to support "African solutions for African problems". The fourth Africa-EU Summit held in Brussels in April 2014 adopted the Roadmap 2014-2017, which refocused the implementation of the JAES on five priority areas, including peace and security.

The African Peace Facility (APF) is the main tool for implementing the Africa-EU Peace and Security Cooperation. This cooperation consists of three inter-linked priorities: Enhanced dialogue on challenges to peace and security, operationalisation of the African Peace Security Architecture (APSA), and Support to Peace Support Operations (PSOs) in Africa. Through the APF, financed by the EDF for a total envelope of more than EUR 2.1 billion, the EU has been at the forefront of international support to the APSA and providing, in parallel to political backing, substantial and predictable funding to African peace support operations. The APF is a pan-African instrument in nature. Undertakings at national levels (e.g. training and funding of purely national actors) are not eligible for funding. Instead, the financial support must be requested by and provided to the AU and/or the African RECs/RMs included in the APSA or other sub-regional organisations carrying out a peace and security operation with an AU PSC mandate.

1.1.2 Stakeholder analysis

The direct beneficiaries of the APF will be the AU, the RECs/RMs, the relevant institutions/structures within or related to the APSA as well as sub-regional organisations carrying out a peace and security operation with an AU PSC mandate. The final beneficiaries will be the people of the African states who will be less affected by conflicts and who will live in a safer environment. European citizens will also indirectly benefit from a safer African continent, as stability in Europe cannot be dissociated from stability in the European neighbourhood and beyond. The following are the most relevant stakeholders for the APF:

The AU Peace and Security Council (AU PSC) is the primary actor in the area of peace and security in the continent as foreseen by the 2001 AU PSC Protocol. It is the standing decision-making organ for the prevention, management and resolution of conflicts. Its key missions are to provide political leadership, to coordinate the other APSA components, as well as to generate actions. It is composed of representatives of AU Heads of states.

The AU Commission Peace and Security Department provides support to the AU PSC and to the overall AU Commission. It builds upon its various divisions, prominent among which is the Peace Support Operations Division (PSOD). The AU has set up liaison offices in countries affected or at risk of being affected by conflict. Liaison offices contribute to conflict analysis, provide early warning and support the implementation of conflict management activities. The AU is a key stakeholder with regards to APF funded activities as PSO has constantly been an important element of APF support to peace-related activities on the African continent.

The RECs/RMs are key partners of the AU. Their relationship with the continental organisation was established in a Memorandum of Understanding (MoU) in 2008, and their role in peace and security has been officially recognised in the AU PSC Protocol. Whilst being formally independent, a high level of cooperation is sought between the RECs/RMs and the AU, and several APSA components (i.e. the CEWS and the ASF) hinge on regional mechanisms for their functioning. As such, the RECs/RMs are also entitled to receive funding from the APF, with AU endorsement.

The sub-regional organisations carrying out a peace and security operation with an AU PSC mandate are not formally part of the APSA. However given the evolving nature of transnational threats, RECs/RMs are not always the most relevant actors for intervention since countries affected belong to several of these organisations. As a consequence, sub-regional organisations carrying out a peace and security operation with an AU PSC mandate (such as the G5 Sahel) have emerged and seek international support to tackle these new challenges.

The Panel of the Wise and the African Standby Force also make part of the APSA. They play a critical role in the AU's conflict prevention and conflict management activities and will therefore be supported under the capacity building component of this Action Programme.

The UN is also a key stakeholder in the area of peace and security in Africa, both as a global body implementing its own peace keeping operations, and as an important contributor to AU's PSO' and budget in the area of peace and security. There are strong linkages between AU and UN operations, with UN missions often taking over from AU ones. Peace operations funded by the APF are consistent with UN principles and objectives, and Security Council mandates.

With specific regards to the support to the G5 Sahel Joint Force (G5S JF), the UN Secretary General has been tasked by the United Nations Security Council (UNSC) Resolution 2391 to take appropriate steps to conclude a "technical agreement" [arrangement] between the United Nations, the European Union and the G5 Sahel states with a view to providing the operational and logistical support specified in Security Council Resolution (SCR) 2391 through the United Nations Multidimensional Integrated Stabilisation Mission in Mali (MINUSMA) to the G5S JF, on the terms and conditions set out in SCR 2391. The UN Secretariat, through its different offices and departments, has been the leading organ negotiating the “technical agreement” [arrangement] with the European Union and the G5 Sahel states. The UN Secretariat would also be the contractual authority with which a contractual arrangement is expected to be signed to cover the costs incurred by MINUSMA for its logistical and operational support to the G5S JF. A separate contractual arrangement is expected to be signed with the Office of the UN High Commissioner for Human Rights (OHCHR) to cover the costs incurred by for the establishment and implementation of the UN Human Rights and International Humanitarian Law compliance framework for the operations of the G5S JF.

1.1.3. Priority areas for support/problem analysis

Africa has experienced unprecedented levels of economic growth in the last decade. However, unabated instability and insecurity in some regions and states remains of particular concern and is a factor of increased migration.

According to the African Centre for the Constructive Resolution of Disputes, four specific 'threat multipliers' have been identified as amplifying Africa's development challenges and increase the likelihood of conflicts: exponential population growth; rapid and unplanned urbanisation; global economic slowdown and decline in commodity prices (only 1.4 % of growth in 2015); and climate change¹⁶.

In this context it should also be highlighted that while, on the one hand, some crises in Africa have origins which are still purely African (for instance the civil war in South Sudan; the election crises in Burundi, Gabon, and the Democratic Republic of Congo), on the other hand Africa is also encountering challenges which are global in nature. Besides global warming already mentioned above, the expansion of radicalism and increase of terrorism in regions as diverse as the Maghreb, the Sahel, the Horn and the Lake Chad Basin area, is another, acute example, more and more considered by African governments as an existential threat.

These developments call for a response strategy that is led by regional actors that understand well the factors linked to the areas under conflict. The progressive development of the APSA in the last 15 years has provided an agreed framework at continental and regional level that leaves African Institutions (AU, RECs/RMs) well placed to address conflicts in the continent. However, while these Institutions have been very active, they still lack sufficient financial, technical capacity and expertise to ensure the successful implementation of envisaged solutions both in terms of conflict prevention and conflict management.

¹⁶ <http://www.accord.org.za/conflict-trends/editorial-2016-2/>.

The intractability shown by most conflicts in Africa once they erupt requires, in the first place, that a greater focus is put on preventing their occurrence or to at least preventing their escalation. The AU has shifted in the last decade from reactive to preventive strategies emphasising the primacy of political and negotiated results over coercive solutions. The operationalisation of APSA has allowed establishing a CEWS and the soon to be established Mediation Support Unit, which will be key steps in this regard. However, given that AU mediators are usually deployed to deal with highly complex and volatile situations, training and support for mediator teams is crucial for the regional body's efficacy. In addition, there is a need to ensure immediate and flexible funding so that preventive diplomacy and mediation initiatives are timely and proactive.

A greater focus on prevention does not detract from the need for a policy of intervention when crisis can no longer be contained. The APSA provides appropriate decision making mechanisms to mandate African led Peace Support Operations. Through the creation of the ASF, it also provides the necessary tool to carry them out. However, the ASF still remains in an embryonic state, its development being hampered by insufficient commitment from AU Member States as well as limited and inconsistent operational capacities.

Beyond the capacity building needs outlined above the main problem affecting the development of an effective African response is the lack of sufficient political and financial commitment from African States. Both the AU and the RECs/RMs have so far struggled to mobilise funds to cover not only the operational costs of PSOs and mediation initiatives but also the structural costs of the APSA. This impedes long term planning and Institutional development, as external funding is not only limited, but also unpredictable.

The AU is, however, taking concrete steps towards financial sustainability. During the 25th AU summit in Johannesburg held on June 2015, Heads of States committed to fund 100% of the operational budget of the AUC and 25% of the costs of AU led PSOs by 2020. In September 2015, and following a proposal made by the Chair of the AUC, the AU Peace and Security Council appointed a High Representative to the Peace Fund to assist the AU in meeting its commitments. On June 2016, following the recommendations of a report presented by the AU High Representative for the Peace Fund¹⁷, the 27th African Union (AU) Summit decided to institute and implement a 0.2 % levy, with effect from 2017, on all eligible imported goods into the continent to finance the AU's operational projects, programmes and peace and security operations budget. The projected amounts are calculated by the AU to rise to a total of USD 400 000 000 by 2020 and the official launch of the Peace Fund is expected during the AU Summit in January 2017. In addition, the AU has actively engaged the United Nations in order to secure the 75% of funding for PSOs that AU Member States will not cover.

While the above initiatives show a strong will by AU Member States to take financial responsibility for peace and security in the continent, external non-UN funding for the operationalisation of the APSA, conflict prevention activities as well as for the implementation of PSOs will still be required in the next years.

¹⁷ Securing Predictable and Sustainable Financing for Peace in Africa, August 2016.
<http://www.peaceau.org/uploads/auhr-progress-report-final-020916-with-annexes.pdf>

2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L) ¹⁸	Mitigating measures
1. AUC, RECs/RMs financial management is not strong enough to pass pillar assessment.	M	<p>Aide-Mémoire AUC-EC signed April 2016.</p> <p>Quarterly AUC-EC Aide Mémoire steering committees (AMSC) to follow up on implementation of Aide Mémoire in place.</p> <p>Remedial measures included in all contracts.</p> <p>No indirect management with REC/RMs not passing pillar assessment.</p>
2. Insufficient funding for PSO/APSA operationalization demands.	H	<p>Cap EU support to each individual PSO to a maximum of 80 % of troop allowances costs. If necessary, focus on the most critical operations.</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 on activating the AU Peace Fund.</p> <p>Exit strategies for all PSOs in place.</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 Concept of Operations (CONOPS).	M	<p>Definition of clear rules of engagement, strategic objectives, etc. as part of the CONOPS. When needed, prior Technical Assistance (TA) will be made available to assist the AU/RECs during this process.</p> <p>Increased field monitoring of PSOs.</p> <p>External evaluations when relevant/feasible.</p>

¹⁸ Risk level: H= High, M=Medium, L=Low.

Assumptions
Peace and Security remains a priority area of EU/AU-RECs cooperation.
The APSA remains the framework to address challenges to Peace and Security in Africa.

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

An external evaluation of the APF was carried out in two phases from 2011 to 2013. It concluded that the APF, by playing a critical role in backing African efforts in the area of peace and security, had had a direct and positive impact on the lives of hundreds of thousands of Africans affected by crises. APF-supported actions had given the EU an important role in supporting conflict reduction efforts on the continent, with the enhanced political credibility and influence this brought. The evaluation recommended that the APF became more strategic and focused in the activities that it supported, particularly in the area of APSA operationalisation where a better balance was needed between salary support and support to key processes within partner institutions that underpin lasting capacity building. A stronger presence on the ground to monitor and manage programme activities was also needed. Finally, the evaluation concluded that the APF cannot tackle on its own the institutional weaknesses facing some regional organisations. Further complementarity with other instruments was required.

In view of the evaluation recommendations, the EU supported in 2014-2015 an overall assessment of the APSA which was conducted by AU and RECs/RMs. The outcome of the assessment provided the basis for the formulation of the APSA Roadmap 2016-2020, which is the strategic document to which APF support to APSA is aligned to.

The design and implementation modalities of the Early Response Mechanism (ERM) were evaluated in 2015. The evaluation indicated that the ERM would probably face an increased demand in the future to support longer term actions than the ones it currently funds (limited to one year). The implementation of the ERM during the past year has indeed shown that long term African mediation efforts are increasingly common in view of the complexity of conflicts. There is therefore a need to review current ERM implementing guidelines in order to better adequate the APF to mediation and preventive diplomacy needs.

Various Results-Oriented Monitoring (ROM) missions have been carried in 2015-2016. Recommendations were used to decide on the appropriateness of continuation of the programmes and, when approved, on the design of follow up phases. Examples include the African Union Mission in Somalia (AMISOM), for which the ROM report indicated the need to re-energise and re-shape the mission so impact was improved. Following active engagement by the EU and other international partners, the AMISOM Concept of Operations has been reviewed and is expected to create new momentum for the mission. The ROM report on the APF support to the African Standby Force AMANI II training exercise recommended not to fund a third phase and to rethink training and capacity building support mechanisms. Under the present Action Programme the capacity building component will be fully aligned with the priorities and objectives defined by the AU and RECs in the APSA roadmap. The ROM report on the APF support to the Monitoring and Verification Mechanism in South Sudan demonstrated the relevance of the operation and the need to put more attention on gender indicators as well as to the representation of certain parties in the conflict for a stronger legitimacy.

The results of the Institutional Assessment of the AUC carried out in 2015 showed that AUC's financial management systems required to be strengthened. In an Aide-Mémoire signed in April 2016, the AUC and the EC agreed on a number of measures to this end. A new Institutional Assessment is expected to take place in 2017.

The Council's Political and Security Committee (PSC) discussed at large the financial sustainability of the APF in 2015. On 7 July 2015, it adopted conclusions on this matter agreeing to apply an 80% ceiling on EU contribution to troop allowances. This ceiling, which the Commission has applied to every PSO since January 2016, will continue to be applied to PSOs funded under the present Action Programme. In addition PSC conclusions directed future EU/APF financial support more to developing capacities than contributing to troop costs; requested the Commission to mitigate exchange risk, to include exit strategies for PSOs, and to plan for ways to address unforeseen circumstances. These are all issues that have been taken into account in the formulation of the present Action Programme.

3.2 Complementarity, synergy and donor coordination

At continental level, there are strong complementarities with Pan-African programmes financed under Regulation (EU) No 233/2014 establishing a financing instrument for development cooperation (DCI) , in particular with the AU Support Programme, which aims at strengthening AU's financial and administrative systems necessary for programme implementation.

Complementarities will also be sought with peace and security projects funded under the Pan-African Programme.

The EU Emergency Trust Fund for Africa¹⁹ supports 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. It therefore complements conflict prevention activities that the APF Action Programme will fund at continental and regional level.

At 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 military in nature. All 11th EDF African RIPs include peace and security funding. Synergies and complementarities will be further promoted between the APF and the RIPs on the basis of the priorities identified in the 2016-2020 APSA Roadmap. National Indicative Programmes (NIPs) also provide significant support to conflict prevention, peace-building and post-conflict reconstruction.

Inter-linkages with the Instrument contributing to Stability and Peace (IcSP)²⁰ and the Common Security and Defence Policy (CSDP) operations in Africa, EU Training Missions (EUTM), in particular, also provide opportunities for synergies in order to increase impact and to safeguard long term sustainability of APF supported activities, and to avoid duplication of interventions. A case in point is the African Union Mission in Somalia (AMISOM). While the APF supports AMISOM's mandate to train the Somali National Army (SNA) by funding the maintenance and renovation of a military camp, EUTM Somalia uses that same camp to provide complementary training to the SNA.

¹⁹ Commission Decision C(2015)7293.

²⁰ Regulation (EU) No 230/2014, OJ L77, 15.3.2014, p. 1.

Following the Joint Communication on Capacity Building in Support of Security and Development (CBSD)²¹, similar synergies will be sought with the proposed EU mechanisms implementing relevant measures. The APF support, restricted to military operations at the continental and regional levels (payment of allowances and operational costs of missions offices mainly), could thus be complemented by operational support at the national level provided by such mechanisms.

Complementary between the Action Programme and the bilateral support that EU Member States are providing to AU and RECs is important. Regular coordination and exchanges of information in HQ and in the field will be further reinforced: In appropriate Council working groups in order to guarantee efficient and coherent actions, and to promote joint planning and monitoring; In Addis Ababa, via the AU partners group on peace and security chaired by the EU Delegation to the AU; At the sub-regional level and in countries where APF-supported peace operations are deployed. The EU delegations to the RECs have an important role to play in that respect.

The use of Joint Financing Arrangements are a good example as they have proven to be particularly effective in harmonising donor funding in alignment with AU priorities for certain programmes (Liaison Offices, Salaries).

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

Finally, the EU is an active participant at relevant peace and security coordination committees within the UN system. Through the APF, the EU aims at building a wide-ranging coalition of African and international partners that contribute to African efforts towards peace and security.

²¹ JOIN(2015)17final.

3.3 Cross-cutting issues

Mainstreaming of the relevant guidelines on human rights, the protection of women and children in armed conflicts and the role of women as active participants in all issues related to the security and safety of themselves, their families and communities and in solving conflicts, including the promotion of the implementation of the protocol on the Rights of Women in Africa (Maputo Protocol), as well as the full application of all UN Security Council resolutions on Women, Peace and Security and on the protection of children affected by armed conflict. These will be systematically integrated and followed up throughout the programme by promoting the increased participation of women in conflict prevention, conflict resolution and peace building efforts by the AU/RECs.

In line with the activities included in the Road Map adopted at the 4th EU Africa Summit, the APF is part of EU efforts to end sexual violence and protecting civilians, in particular women and children who are the most affected by armed conflicts. The 2012-2014 and 2015-2019 Action Plans of the Strategic Framework on Human Rights and Democracy, commit the European Union to 1) contribute to the implementation of the EU human rights policy; and 2) ensure consistency with the promotion, protection and enforcement of international human rights law and international humanitarian law.

To this end the following measures will be included as relevant in actions implemented under the present Action Programme:

- Actions will include activities to prevent and respond to sexual violence and gender-based violence in conflict and post-conflict situations; and either promote or reinforce a gender component in PSOs. Specific budget lines will be included to finance these activities. Resources are key for effective implementation.
- Contracts will include specific provisions requesting detailed reporting on training activities in Human Rights and gender, on measures adopted to prevent gender and sexual violence in PSOs, and on the number of cases reported and investigated by the AUC or REC/RM.

- When formulating actions, and as appropriate, an "atrocities prevention lens" will be applied in order to promote the prevention of atrocities or other violations of international human rights law and international humanitarian law and ensure that our actions are conflict sensitive and do no harm.

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

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

The overall objective of the APF is to contribute to promote peaceful and inclusive societies for sustainable development (SDG 16) and to the Africa Agenda 2063 by supporting African led efforts "to silence the guns by 2020" and therefore reducing the number of violent conflicts in the continent.

The specific objective of this Action Programme is to effectively support the AUC and RECs/RMs or sub-regional organisations carrying out a peace and security operation with an AU PSC mandate in implementing the African peace and security agenda and to address in a comprehensive ("continuum") manner conflicts on the African continent.

The expected results of this Action Programme are the following:

1. Strengthened institutional capacities allow the AUC and REC's/RMs to achieve more efficiently the targets of the APSA roadmap 2016-2020.
2. Through preventive diplomacy, the AU and the RECs/RMs have managed to avoid and/or contain an increasing number of conflicts in their initial stages in a timely manner.
3. African-led PSOs have been instrumental in ending and /or containing conflicts through early and effective deployment of African troops in full respect of international HR and humanitarian law.

This programme is relevant for the United Nations 2030 Agenda for Sustainable Development. It contributes primarily to the progressive achievement of SDG 16, in particular to its first target ("16.1 Significantly reduce all forms of violence and related death rates everywhere"). This does not imply a commitment by the Regional Organisations benefiting from this programme.

4.2 Main activities

In line with the overall objective of the APF, this action programme will support activities with a continental or regional dimension implemented either by the AU or by RECs/RMs or sub-regional organisations carrying out a peace and security operation with an AU PSC mandate.

Result 1: Strengthened AUC's and REC's institutional capacities result in the targets of the APSA roadmap 2016-2020 being met.

This action programme support to the operationalisation of APSA will be fully aligned with the strategic priorities defined in the APSA roadmap 2016-2020, namely, (i) contributing to effective, coordinated and timely direct and structural prevention of conflicts and crises by the AU and the RECs/RMs; (ii) contributing to enhanced operational readiness of the ASF, and more African PSOs as well as contributing to the effective and coordinated management and resolution of conflicts and crises through mediation by the AU and the RECs; (iii) contributing to effective, coordinated and timely support to post-conflict Member States and communities emerging from conflict; (iv) contributing to enhancing the timeliness and effectiveness of the response to strategic security challenges by all stakeholders; and (v) contributing to enhanced effectiveness of coordination and partnership within the APSA framework.

A set of activities to be funded in support to the above priorities will be jointly defined with African partners in order to ensure that APF's support will have the greatest impact in building lasting institutional capacities and taking into account the absorption and management capacity of the beneficiaries, paying also attention to crosscutting issues.

Result 2: Through preventive diplomacy, the AU and the RECs/RMs have managed to avoid and/or contain an increasing number of conflicts in their initial stages in a timely manner.

The main activity under this result will be the setup of the third phase of the ERM. The ERM will provide the AU and African sub-regional organisations with an immediately available source of funding for the first steps of actions aimed at preventing, managing and resolving crises, such as the launch of a mediation initiative, the preparation of decision-making and planning of a proposed peace operation, or the initial phases of its deployment.

The third phase of the ERM will fund AU and RECs/RMs initiatives under two different windows:

- Unforeseeable crisis requiring and urgent response to either prevent their development or manage the initial stages of conflict. This will include, but it is not limited to, support to AU or RECs/RMs initiatives such as shuttle diplomacy, deployment of security/Human Rights observers recruited on the basis of proven experience and skills, or fact-finding missions for the preparation/set up of a PSO;
- Ongoing crisis or conflicts requiring sustained mediation or political negotiation.

The Commission Services and the European External Action Service (EEAS) will adopt, in consultation with the African Union, implementing guidelines further detailing the scope of the mechanism, as well as the principles and procedures for its implementation, paying also attention to crosscutting issues.

Result 3: African-led PSOs have been instrumental in ending and/or containing conflicts through early and effective deployment of African troops in full respect of international HR and humanitarian law.

The APF will provide funding to African led PSOs in accordance to the procedure detailed in the Appendix I to this Action Programme. Lessons learned in the implementation of past Action Programmes show that funding requirements consistently exceed the available means; therefore APF contributions to troop allowances will be limited to a maximum of 80 % of each individual operation funded amount, as foreseen in section 5.6. In addition, the Commission Services and the EEAS will assess whether PSOs funding requests can count on the sufficient in kind or financial complementary support to ensure their effectiveness. Field monitoring of PSOs will be enhanced in order to assess progress towards objectives as defined in the PSOs Concept of Operations.

The scope of activities eligible for funding under this result is not limited to peace enforcing and peace keeping operations, but it may also include the initial steps of post conflict peacebuilding efforts such as disarmament, demobilisation and reintegration. Support to peace operations will in future be directed, to the extent possible and where appropriate, more to developing capacities and to reinforcing capacity building activities supported in the framework of the APSA such as the operationalisation of the ASF.

The APF is conceived as a facility aimed at supporting African-led PSOs for a limited period of time during the acutest phases of a crisis. In order to avoid excessive concentration of funding on particular operations, exit strategies will be discussed and agreed at the earliest stage and regularly updated depending on the evolution of the situation on the ground.

These three main areas of support will be underpinned by regular political dialogue on challenges to peace and security, including the operationalisation of APSA, the mobilisation of additional funds and exit strategies for APF's support, through consultations, coordination of positions, sharing of information and analyses and joint assessment missions.

4.3 Intervention logic

This Action Programme aims to contribute towards the achievement of SDG 16 in Africa, in particular target 16.1, and thus at removing a direct cause for forced displacement and helping create the conditions for sustainable social and economic development. This will be achieved through AU and/or RECs/RMs or sub-regional organisations carrying out a peace and security operation with an AU PSC mandate interventions to prevent and, if needed, manage conflicts. In order to be effective these interventions require on the one hand an operational APSA which ensures appropriate capabilities and know-how; and, on the other hand, direct external financial support to African preventive diplomacy initiatives and peace support operations as the AU cannot on its own cover the totality of the costs involved.

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 by supporting the efforts of the African Organisations that have a mandate to promote peace and security.

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 4.1 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 authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute non-substantial amendment in the sense of Article 9(4) of Regulation (EU) No 322/2015.

5.3 Implementation of the budget support component

Not applicable.

5.4 Implementation modalities

Both in indirect and direct management, 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 affecting the respective countries of operation²².

5.4.1. Grant: direct award (direct management)

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results

To promote peace and security in Africa through early and effective deployment of African troops by RECs/RMs in full respect of international human rights and humanitarian law.

²² https://eeas.europa.eu/sites/eeas/files/restrictive_measures-2017-04-26-clean.pdf

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the following beneficiaries: The RECs/RMs which currently form 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), the South African Development Community (SADC).

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because of the particular characteristics of peace and security actions²³. In addition to the AU, RECs/RMs are the key African intergovernmental bodies with a mandate in the area of peace and security in their respective regions.

(c) Eligibility conditions

The RECs/RMs which currently form 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), the South African Development Community (SADC).

(d) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

²³ Article 128.1 of the Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(e) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 80%.

If full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(f) Indicative trimester to conclude the grant agreement

Grants will be awarded to RECs/RMs in order to implement Peace Support Operations. The need for a Peace Support Operation is by nature not foreseeable.

5.4.2. Procurement (direct management)

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Technical Assistance	Services	5	Q1 2018
JRC Technical support to CEWS	Services	1	Q4 2017

As part of the support to the operationalisation of APSA (result 1), targeted technical assistance will be procured to support the AU and RECs/RMs. Procurement procedures for service contracts will be launched indicatively during the 1st quarter of 2018.

As part of the support to the operationalisation of the APSA (result 1), the Joint Research Centre (JRC) through an administrative arrangement will provide scientific and technical support to the African Union'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 trainings and capacity building activities on the use and operation of the African Union Conflict Analysis and Alerting Systems as part of this action. JRC will detail its commitments (e.g. reporting) in the administrative arrangement to be signed with DEVCO.

5.4.3. Indirect management with Expertise France

A part of this action may be implemented in indirect management with Expertise France.

This implementation entails the delivery of goods, services and works to the G5 Sahel Joint Force by Expertise France. This implementation is justified because of the particular capacity of Expertise France to operate in the highly insecure environment prevalent in the area of intervention – Expertise France is currently implementing the PARSEC programme under the EU Trust Fund for Africa and is currently delivering similar type of services to MINUSMA.

The entrusted entity would carry out the following budget-implementation tasks: managing and enforcing contracts, procurements, making payments, accepting and respecting agreed deliverables, enforcing checks and controls and recovering funds unduly paid.

The entrusted entity is currently undergoing ex-ante assessment. The Commission's authorising officer responsible deems that, based on the compliance with the ex-ante assessment based on Regulation (EU, Euratom) No 1605/2002 and long-lasting problem-free cooperation, the entrusted entity can be entrusted with budget-implementation tasks under indirect management.

5.4.4. Indirect management with the Deutsche Gesellschaft für internationale Zusammenarbeit (GIZ)

A part of this action may be implemented in indirect management with the Deutsche Gesellschaft für internationale Zusammenarbeit (GIZ).

This implementation entails technical, operation and logistical support to the governance structure of the G5 Sahel. This implementation is justified because of the particular experience of the GIZ in the provision of capacity-building expertise and its presence on the ground within the framework of its support programme to the police component of the G5 Sahel.

The entrusted entity would carry out the following budget-implementation tasks: managing and enforcing contracts, procurements, making payments, accepting and respecting agreed deliverables, enforcing checks and controls and recovering funds unduly paid.

The entrusted entity is currently undergoing ex-ante assessment. The Commission's authorising officer responsible deems that, based on the compliance with the ex-ante assessment based on Regulation (EU, Euratom) No 1605/2002 and long-lasting problem-free cooperation, the entrusted entity can be entrusted with budget-implementation tasks under indirect management.

If negotiations with the above-mentioned entrusted entity fail, that part of this action may be implemented in direct management in accordance with the implementation modalities identified in section 5.4.8.

The Commission authorises that the costs incurred by the entrusted entity may be recognised as eligible as of 1st of September because of the urgency of providing support to the G5 Sahel governance structure.

5.4.5. Indirect management with the United Nations Secretariat

Parts of this action programme may be implemented in indirect management with the United Nations Secretariat.

This implementation entails logistical and operational support to the G5 Sahel Joint Force through the United Nations Secretariat. This implementation is justified because of the mandate of the United Nations Secretariat in delivering support to Peace Support Operations and its presence in the area of operations.

The entrusted entity would carry out the following budget-implementation tasks: managing and enforcing contracts, procurements, making payments, accepting and respecting agreed deliverables, enforcing checks and controls and recovering funds unduly paid.

The entrusted international organisation is currently undergoing ex-ante assessment. The Commission's authorising officer responsible deems that, based on the compliance with the ex-ante assessment based on Regulation (EU, Euratom) No 1605/2002 and long-lasting problem-free cooperation, the international organisation can be entrusted with budget-implementation tasks under indirect management.

5.4.6. Indirect management with the United Nations Human Rights Office of the High Commissioner (OHCHR)

Parts of this action programme may be implemented in indirect management with the United Nations Human Rights Office of the High Commissioner (OHCHR).

This implementation entails support to the human rights and international humanitarian law (HR/IHL) compliance framework for the operations of the G5S JF by the OHCHR as per UNSC Resolution 2391. This implementation is justified because of the OHCHR's mandate with regards to the respect of human rights and international humanitarian law.

The entrusted entity would carry out the following budget-implementation tasks: managing and enforcing contracts, procurements, making payments, accepting and respecting agreed deliverables, enforcing checks and controls and recovering funds unduly paid.

The entrusted international organisation is currently undergoing ex-ante assessment. The Commission's authorising officer responsible deems that, based on the compliance with the ex-ante assessment based on Regulation (EU, Euratom) No 1605/2002 and long-lasting problem-free cooperation, the international organisation can be entrusted with budget-implementation tasks under indirect management.

5.4.7. Indirect management with a regional organisation

A part of this action with the objective of effectively supporting the AUC and RECs/RMs in implementing the African peace and security agenda and to address in a comprehensive ("continuum") manner conflicts on the African continent may be implemented in indirect management with the following regional organisations: the African Union Commission (AUC), the Common Market of East and Southern Africa (COMESA), the East African Community (EAC), the Economic Community of West African States (ECOWAS), the Inter-Governmental Authority for Development (IGAD), the South African Development Community (SADC) 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.

Delegations agreements will be signed with the AUC and may be signed with the above-mentioned RECs that are part of the APSA to support AU-led peace support operations.

Payments are executed by the Commission.

For support to new peace support operations, the elements required by Article 84(3) second subparagraph of Regulation (EU, Euratom) 966/2012 applicable in accordance with Article 26 of Regulation (EU) 2015/323 will be specified in an additional Commission decision (see Annex I, section 1).

In case of indirect management for interventions under this action programme, the contract management cycle is delegated to the entrusted entities.

In very exceptional cases, where the AUC/REC/RM has revealed lacking specific expertise and capacity to manage the procurement envisaged for the implementation of a particular PSO and no other alternatives can provide a viable solution, the Commission may implement result 3 of this Action Programme through procurement contracts in direct management.

The responsible authorising officer will ensure that these entities comply with the conditions of points (a) to (d) of the second subparagraph of Article 60(2) of Regulation (EU, Euratom) No 966/2012 applicable in accordance with Article 17 of Regulation (EU) 2015/323. Where they comply 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 European Commission therefore negotiated a revision of the European Commission – African Union Commission Aide Memoire 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 and in the revised Aide-Memoire signed on 14 April 2016. These rules of engagement include the implementation of a pillar assessment roadmap; the communication on a regular basis to the European Commission of the AUC’s audited financial statements as well as the information on actual expenditures, accounts or detailed financial situation of the AUC as an organisation. In line with Annex II of the revised aide memoire, additional and more specific remedial measures will be included in the special conditions of all contracts signed between the European Commission, on behalf of the European Union, and the AUC.

An African Union Commission-European Commission Steering Committee that oversees the implementation of the Aide Memoire noted on 15 November 2016 good progress reported by the AUC on most of the measures, including in particular the pillar assessment roadmap.

All high importance action issues related to the accounting and procurement pillars had been addressed, and only one high importance issue related to the sub-delegation pillar was still outstanding. There are in addition a number of medium and low importance issues that still had to be addressed by AUC.

A new Steering Committee meeting will in the first half of 2017 discuss when a new pillar assessment of the AUC should be launched.

5.4.8. Changes from indirect to direct management mode due to exceptional circumstances

Grant: direct award (direct management)

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results

To promote peace and security in Africa through early and effective deployment of African troops by RECs/RMs or sub-regional organisations carrying out a peace and security operation with an AU PSC mandate in full respect of human rights and international humanitarian law.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because of the particular characteristics of peace and security actions²⁴.

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the United Nations Secretariat.

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because it entails the provision of logistical and operational support to the G5S JF by MINUSMA, the United Nations peacekeeping operation in Mali under the authority of the Department of Peacekeeping Operations, a department of the United Nations Secretariat.

²⁴ Article 128.1 of the Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012.

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the Office of the United Nations High Commissioner for Human Rights (OHCHR).

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because of the work initiated by the OHCHR with the G5S JF to set up a framework and mechanism to prevent and address human rights and international humanitarian law violations and abuses as per UNSC Resolution 2391.

(c) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 100 %.

If full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative trimester to conclude the grant agreement

Grants will be awarded in order to implement or support Peace Support Operations. The need for a Peace Support Operation is by nature not foreseeable.

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 in accordance with Article 22(1)(b) of Annex IV to the ACP-EU Partnership Agreement on the basis of extreme urgency/crisis situation 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

The total EDF financial contribution for the period 2017-2018 is EUR 561 356 616.

Given the limited availability of EDF funds for the APF at the time of the approval of the initial decision in April 2017, only EUR 430 000 000 were initially committed – EUR 220 000 000 from funds decommitted from projects under the 10th EDF, EUR 100 000 000 from the Intra-ACP envelope of the 11th EDF, and EUR 110 000 000 from the allocation for unforeseen needs of the 11th EDF regional programme for Eastern Africa, Southern Africa and the Indian Ocean.

With amendment No. 2, a further amount of EUR 105 000 000 from the 10th EDF decommitted funds (performance reserve) was allocated to the 2017-2018 Action Programme of the APF, mainly to cover expected additional financial requirements for Peace Support Operations in 2018 and foreseen requirements under the Early Response Mechanism.

With amendment No. 3, EUR 64 000 000 within the existing budget were reallocated to Result 3 to cover expected additional requirements for Peace Support Operations in 2018. EUR 44 000 000 originate from Result 1 ("Implementation of the APSA Roadmap") and EUR 20 000 000 from Result 2 ("Early Response Mechanism").

A further amount of EUR 25 773 116 was allocated to the 2017-2018 Action Programme of the APF, to cover expected additional requirements for Peace Support Operations in 2018. EUR 20 773 116 originate from decommitted funds of the 2014-2016 Action Programme of the APF and EUR 5 000 000 from the 11th EDF West Africa Regional Indicative Programme.

The Commission has been entrusted with the responsibility of managing a contribution of EUR 583 500²⁵ from the Grand Duchy of Luxembourg in support to the G5 Sahel Joint Force, as per Transfer Agreement ACP/FED/2017/39433/LU signed on 7 March 2018, in accordance with the procedures applicable to the expenditure of the European Union, in particular EDF.

²⁵ Excluding a lump sum of EUR 16 500 to cover the Commission's administrative costs.

The Commission will be entrusted with the responsibility of managing the following contributions:

EUR 335 512.50²⁶ contribution from the Grand Duchy of Luxembourg in support of the G5 Sahel Joint Force, as per Transfer Agreement ACP/FED/2018/39433/LU signed on 14 May 2018.

EUR 972 500²⁷ contribution from the Czech Republic in support of the G5 Sahel Joint Force, as per Letter of Intent signed on 18 June 2018.

EUR 3 890 000²⁸ contribution from the Kingdom of the Netherlands in support of the G5 Sahel Joint Force, as per Transfer Agreement ACP/FED/39433/NL signed on 19 July 2018.

EUR 5 543 250²⁹ contribution from the Kingdom of Denmark in support of the G5 Sahel Joint Force, as per Letter of Intent signed on 29 June 2018.

EUR 972 500³⁰ from the Kingdom of Belgium in support of the G5 Sahel Joint Force as per Transfer Agreement ACP/FED/39433/BE signed on 7 July 2018.

EUR 2 139 500³¹ from the United Kingdom of Great Britain and Northern Ireland in support of the G5 Sahel Joint Force, as per Transfer Agreement ACP/FED/39433/UK signed on 7 August 2018.

EUR 875 250³² from the Republic of Finland in support of the G5 Sahel Joint Force, as per Transfer Agreement ACP/FED/2018/39433/FI signed on 4 May 2018.

The above-mentioned contributions of EU Member States in support to the G5 Sahel Joint Force added under amendment No. 4 amount to a total of EUR 14 728 512.50. The Commission will be entrusted to manage said contributions after the signature of the corresponding transfer agreements, in accordance with the procedures applicable to the expenditure of the European Union, in particular EDF.

²⁶ Excluding a lump sum of EUR 9 487.50 to cover the Commission's administrative costs.

²⁷ Excluding a lump sum of EUR 27 500 to cover the Commission's administrative costs.

²⁸ Excluding a lump sum of EUR 110 000 to cover the Commission's administrative costs.

²⁹ Excluding a lump sum of EUR 156 750 to cover the Commission's administrative costs.

³⁰ Excluding a lump sum of EUR 27 500 to cover the Commission's administrative costs.

³¹ Excluding a lump sum of EUR 60 500 to cover the Commission's administrative costs.

³² Excluding a lump sum of EUR 24 750 to cover the Commission's administrative costs.

The table below shows the indicative budget breakdown.

	Total EDF contribution (amount in EUR)	Total estimated cost of the action (amount in EUR)
Result 1: The APSA is implemented on the basis of the strategic priorities and objectives defined in the APSA roadmap 2016-2020	13 000 000	13 000 000
5.4.7 – Indirect management with a regional organisation	10 000 000	10 000 000
5.4.2 – Procurement (direct management) – Joint Research Centre	1 000 000	1 000 000
5.4.2 – Procurement (direct management) – Technical Assistance	2 000 000	2 000 000
Result 2: The AU and RECs/RMs are provided with the financial support needed to allow them to conduct preventive diplomacy initiatives and manage initial stages of conflicts in a timely manner.	0	0
Result 3: African-led PSOs are provided with financial support required to manage conflict in an effective way.	531 356 616	546 085 128.50
5.4.7 – Indirect management with a regional organisation		
5.4.1 – Grant: direct award (direct management)		
5.4.3 – Indirect management with Expertise France		
5.4.4 – Indirect management with GIZ		
5.4.5 – Indirect management with the UN Secretariat		
5.4.6 – Indirect management with the OHCHR		
5.9 – Evaluation, 5.10 – Audit	1 500 000	1 500 000
5.11 – Communication and Visibility	500 000	500 000
Contingencies	15 000 000	15 000 000
TOTAL	561 356 616	576 085 128.50

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) 2015/323 of 2 March 2015 on the financial regulation applicable to the 11th European Development Fund, to promote coherence and reduce transaction costs and administrative burden for the African partners.

Additional 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 substantial within the meaning of Article 94(4) of the Delegated Regulation (EU) No 1268/2012, applicable in accordance with Articles 2(1) and 26 of Regulation (EU) 2015/323, provided that they do not significantly affect the nature and objectives of the actions. The use of contingencies shall be taken into account in this ceiling. In this regard, above additional contributions will not be considered as specific change to the Action Programme to the effect of Article 15(b) of Council Regulation 2015/322 and therefore the authorising officer responsible may adopt such non-substantial changes in accordance with the principles of sound financial management and proportionality.

5.7 Organisational set-up and responsibilities

Retroactive financing

In order to prevent delays and avoid gaps in funding, the AU, the RECs/RMs, Expertise France, *the Deutsche Gesellschaft für internationale Zusammenarbeit (GIZ)*, the United Nations Secretariat or the OHCHR may pre-finance certain activities from 1st January 2017, 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 request by the beneficiary of the action (AU/RECs/RMs/Expertise France/GIZ/United Nations Secretariat/OHCHR), which shall be mentioned in the special conditions of the grant contracts or indirect management delegation agreements to be signed with the AU, the sub-regional organisations, Expertise France, GIZ, the United Nations Secretariat or the OHCHR.

Eligibility of costs

An indicative list of eligible expenditure includes: per diems, salaries for the civilian component of peace support operations, rations, medical consumables and facilities, transport, travel, fuel, troop allowances, and communication 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 2015³³, an amount of EUR 738 per soldier per month is fixed as the maximum amount. Payment of these costs will be made to the governments of the troop contributing countries (TCCs) or directly to the troops on the ground depending on the arrangements reached with TCCs.

A "Memorandum of Understanding" (MoU) signed between the implementing organisation and the TCCs and governing among others the disbursements to the TCCs will be established at the commencement of an operation and be updated when and if necessary. The MoU will explicitly mention (1) the list of non-eligible expenditures, and (2) the TCCs' responsibility to provide on a timely manner all the supporting documents requested by auditors engaged either by the Commission or by the AUC.

5.8 Performance 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 a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of 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. 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.

³³ The conclusions of the EU Political and Security Committee of 7 July 2015 refer to a ceiling of 80 % of the then APF contribution to troop allowances (USD 1 028).

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 regional delegations or the delegations where the action takes place will be ensured.

5.9 Evaluation

Having regard to the importance of the action and taking into account the provisions of Article 15 of the 11th EDF Implementing Regulation³⁴, a mid-term evaluation has been carried out for this action or its components via independent consultants during the course of 2017 and has been presented to EU Member States at the beginning of 2018. It will be carried out for learning purposes, in particular with respect to review the results and procedures of the African Peace Facility and discuss options regarding future funding possibilities.

The Commission shall inform the implementing partner at least 2 months 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 partner country and other key stakeholders. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

Indicatively, one contract for evaluation services shall be concluded under a framework contract in 2019.

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.

³⁴ Council Regulation (EU) 2015/322 of 2 March 2015 on the implementation of the 11th European Development Fund.

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.

Since remedial measures described under section 5.4.3 include that all actions funded under indirect management will be audited, and taken into account that the number of Peace Support Operations to be funded is not predictable, it is not possible to indicate at this stage the number of contracts for audit services that will be concluded under this action programme. Audit activities will be contracted through framework contracts.

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 and supported with the budget indicated in section 5.6 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, 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 Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

Indicatively, one contract for communication and visibility services shall be concluded under a framework contract in 2017.

APPENDIX 1 - DECISION-MAKING PROCEDURES FOR THE AFRICAN PEACE FACILITY, 2017-2018

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 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 takes an initiative, this initiative shall require the political approval of the AU. Peace 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 and in particular Chapters VII and VIII. While seeking this UN endorsement, the decision-making should, however, be flexible enough to go ahead with funding. Procedures that will apply to APF-funded interventions are the following:

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 preparatory working groups and will seek the approval of the Political and Security Committee (PSC) on political appropriateness of the intervention requested.

For support to new peace 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 operation or (ii) support to the APSA operationalisation, no Commission decision will be needed.

2) Early Response Mechanism (ERM)

The ERM will finance, for a period of up to 24 months, interventions that, by their nature, require immediate support. Upon a request from the AU or a sub-regional organisation (RECs/RMs), the EEAS and Commission will assess the request and decide jointly on the appropriateness of funding the request. No new Commission decision will be needed to finance activities under the ERM. The PSC and the relevant Council working groups will be kept informed on activities supported by the ERM.

The Commission Services and the EEAS will revise, in consultation with the African Union, the ERM implementing guidelines further detailing the scope of the mechanism, as well as the principles and procedures for its implementation.

3) Audit, monitoring, evaluation, technical assistance, lessons learned 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 substantive APF interventions.

APPENDIX 2 - INDICATIVE LOGFRAME MATRIX

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	Contribute to promote peaceful and inclusive societies for sustainable development (SDG 16) by supporting African led efforts to silence the guns by 2020 and therefore reducing deaths and forced displacement due to violent conflict in the continent.	Conflict-related deaths per 100 000 in Africa. Number of people forcibly displaced in Africa	Data to be collected Q2 2017	Tbd	- Uppsala Conflict Data Programme battle deaths dataset, - IISS Armed Conflict Database, PRIO Battle-Deaths Data - WHO.	

Specific objective(s):	To effectively support the AUC and RECs/RMs in implementing the African peace and security agenda and to address in a comprehensive ("continuum") manner conflicts on the African continent	- Percentage of conflicts effectively managed by the AU/REC/RM. - Number of conflicts prevented by AU/REC/RM	Data to be collected Q2 2017	Tbd	- Uppsala Conflict Data Programme battle deaths dataset, - IISS Armed Conflict Database, - Peace and Security remains a priority area of EU/AU-RECs cooperation. - The APSA remains the framework to address challenges to Peace and Security in Africa. - The AUC continues to implement the Aide Mémoire on strengthening Financial Management.
Outputs	Strengthened AUC's and RECs' institutional capacities result in the targets of the APSA roadmap 2016-2020 being met.	- Number of Roadmap strategic priority indicator targets being met	Data to be collected Q2 2017	Tbd	There are no substantial modifications to the Roadmap.
	Through preventive diplomacy, the AU and the RECs/RMs have managed to avoid and/or contain an increasing number of conflicts in their initial stages in a timely manner.	- Ratio of successful preventive interventions by AU/RECs/RMS against total number of interventions . - frequency of EWS tools and methodologies being used to monitor, collect and analyse data - Number of timely and coordinated mediation interventions by the AU/RECs/RMs	Data to be collected Q2 2017	Tbd	Commitment to invest more on preventive diplomacy and mediation remains high on the AUC agenda

	<p>African-led PSOs have been instrumental in ending and/or containing conflicts through early and effective deployment of African troops in full respect of international HR and humanitarian law.</p>	<ul style="list-style-type: none"> - Number of HR violations committed by AU/REC/RM led PSOs - Percentage of PSOs reaching their objective within the planned period. - average time for a PSOs to be deployed once a crisis has erupted 	Data to be collected Q2 2017	Tbd	<ul style="list-style-type: none"> - PSO reports - Reports by CSOs 	<ul style="list-style-type: none"> - Continuous commitment by AU MS to provide troops. - Sufficient quality pre-deployment training and equipment of PSO troops.
--	---	---	------------------------------	-----	--	--