



JOINT UN-AU FRAMEWORK FOR AN ENHANCED PARTNERSHIP IN PEACE AND SECURITY

Introduction

The senior leadership and legislative bodies of both the United Nations and the African Union have all strongly endorsed closer cooperation and coordination between the two organizations on peace and security¹, leading them to emphasize a more strategic partnership. Such an approach has also been endorsed by the recent DPA/DPKO/DFS Strategic Review of UNOAU and the UN Policy Committee. In line with the AUPSC Protocol, as well as the provisions of Chapter 8 of the UN Charter regarding the role of regional arrangements in the maintenance of peace and security, the AUC is also committed to further enhancing its relationship with the UN. In line with the APSA, this relationship also encompasses the RECs/RMs, who will be consulted on this Framework in a second phase of discussions, along with the rest of the AUC and the wider UN family.

In fulfillment of this mutual determination to enhance UN-AU partnership in the area of peace and security, UNOAU and AUPSD have developed and endorsed the following Joint Framework, which takes a holistic and practical approach to making the partnership more systematic, effective and results-oriented. This Joint Framework seeks to bring the AU and UN into collaboration from the earliest indicators of potential conflict and the planning of conflict prevention, and to build on this collaboration to strengthen cooperation throughout the subsequent stages of the response to conflict, including conflict management and resolution, post-conflict reconstruction and peace building. It forms the basis for practical joint work plans in the different areas of collaboration to operationalize an enhanced partnership, and provides an important pillar in the rationale for re-structuring and strengthening UNOAU to better enable real-time engagement between the UN and AU on peace and security issues. In developing such workplans, all relevant best practices and cross-cutting issues and policies, such as women, peace and security, and communication/advocacy strategy, will be fully taken into account. The following are the areas jointly identified for partnership development.

A. Increased common understanding of the causes of conflict in Africa

Before we can assess whether conflict is likely, and then move on to discuss what can be done to prevent or address it, we must first have an understanding of the key factors that cause conflict, and the indicators that predict it. To this end, the UN and AU will exchange information and analysis towards developing a greater common understanding of the root causes of conflict.

¹ Insert references to Dec 2011/Jan 2012 SG rpt, AUCP report, UNSC resolution and AUPSC communiqué.

A large, stylized handwritten signature in dark ink, located in the bottom left corner of the page.

A smaller, stylized handwritten signature in dark ink, located in the bottom right corner of the page.

Dedicated discussion on the causes of conflict in Africa through:

- a) Annual sessions of the UN-AU desk-to-desk, with participation of AU, UN, RECs, key partners, regional or wider international organizations, think tanks, etc;
- b) periodic review of academic research on root causes and key indicators of conflict through organized discussions of experts, national, regional, continental and international research institutions, etc.

B. Prevention of Conflict

Building on the foundation of a greater common understanding of conflicts, the organizations will share early warning information and analysis of potential hotspots, then work together to prepare options for conflict prevention.

1. Ongoing and systematic collaboration on early warning information and analysis:

- a) Early warning analysis, including from relevant third parties, shared between the two organizations;
- b) joint analysis of identified hotspots and country-specific risk factors and indicators;
- c) development of common approaches to prevent the eruption of violent conflict.

2. Establish country/region-specific UN-AU teams to follow up on potential conflicts:

- a) Produce common analysis and, where appropriate, conduct joint field assessments;
- b) follow up on conclusions of D2D, discuss options for conflict prevention and advocacy;
- c) propose options for coordinated or joint UN-AU response, as appropriate, drawing on complementary advantages of each organization and taking full account of cross-cutting themes, such as, inter alia, human rights and gender;
- d) collaborate in counter-terrorism efforts and the combating of trans-national organized crime, including sharing of information and analyses of trends and threats and related information;

- e) collaborate in the promotion of regional approaches to peace and security challenges, such as the Sahel Strategy, efforts in the Great Lakes and Horn of Africa, etc.

3. Preventive diplomacy:

- a) Results from the country-specific mechanism discussed at regular UNOAU-AUPSD meetings and, where appropriate, fed into the JTF;
- b) UNOAU to follow up and facilitate joint UN-AU initiatives as decided by the two organizations.

C. Addressing conflict

Where conflicts erupt, and in their ongoing efforts to address current conflicts, the UN and AU will redouble their efforts to coordinate and synergize their engagement in a mutually supportive manner, across the sequence of responses - from mediation and conflict management to peace operations and peacebuilding. The Commission and the Secretariat will support the strengthening of relations between the organizations at the political and working level, including through: discussing and contrasting their respective doctrines, policies and practices with a view to a more systematic complementarity, inter-operability and, where appropriate, transition from one to the other. Cooperation will also be based on agreed principles, such as the need for peacebuilding alongside peace enforcement or peacekeeping. Both organizations will work together to strengthen the tools, resources, policies and processes that enable and support greater and more effective cooperation.

1. A shared understanding of each organization's doctrines, policies, and role in addressing conflict:

- a) A joint committee will research, compile, compare and discuss the respective doctrines and policies of each organization in the area of peace and security, including practices of their respective legislative bodies; it will exchange information and consider potential elements of complementarity, drawing on a forward-looking assessment of comparative advantage and seeking to define and enable an appropriate role for each organization;
- b) formal and informal meetings of UNSC and AUPSC member states will be encouraged and facilitated to enhance mutual understanding and the exchange of information;
- c) the UN Secretariat and the AUC will consider other ways to facilitate the efforts of their Member States, particularly those in the UN Security Council and AU Peace and Security Council, to exchange information,

consult and cooperate in areas of mutual interest, and to hold more effective periodic meetings;

- d) UNOAU will be invited to the annual retreat bringing together the PSC and African members on the UN Security Council (A3), aimed at bringing greater synergy and understanding to African states of the workings of the UN system.

2. Cooperation in mediation:

- a) The UN and AU will review the draft AU-UN Mediation Guidelines and adopt a strategy for cooperation in mediation;
- b) UNOAU and AUPSD will organize periodic discussions on forms of cooperation in mediation, such as between PANWISE and UN mediation, or between UN and AU Special Envoys.


3. Planning and managing peace operations:

- a) In considering how to address each particular conflict, both organizations will endeavor to agree on the goals, vision and end state of their initiatives, and share such common understanding with their respective decision-making bodies;
- b) collaborate in the evaluation, analysis and assessment of the situation in ongoing AU missions, and the identification of mission challenges, especially in the areas of conduct of operations and mission management;
- c) conduct joint assessments and technical missions wherever feasible.
- d) carry out a joint review of partnership development needs and priorities, including PSD institutional capacity needs (and those of other parts of the AUC linked to peace and security), and agree on appropriate follow-up to the Ten-Year Capacity-Building Plan.
- e) collaborate towards strengthening the operationalization of the ASF and ACIRC.

D. Peacebuilding

[This section represents an initial draft in anticipation of more substantial inputs from relevant UN and AU departments and organizations]

Both organizations recognize that sustainable peace requires the development of national institutions with the capacity to address the root causes of conflict, and ongoing conflict in all its forms without recourse to arms. This work is not sequential to other efforts to prevent and



address conflict, but must be adequately reflected and addressed in the design of peacekeeping/peace support operations and any other strategy developed to resolve conflicts.

- a) Work to include peacebuilding strategies in joint planning of conflict prevention and peace operations, taking full account of cross-cutting themes, such as human rights, justice and reconciliation, gender, children's rights, etc;
- b) strengthen coordination and cooperation between the UN Peacebuilding Commission/Peacebuilding Support Office and the AUC;
- c) encourage joint assessment missions of countries emerging from conflict/countries on the agenda of the PBC;
- d) plan and execute joint demarches, advocacy and resource mobilization, where appropriate, in support of peacebuilding activities;
- e) work jointly in support of the implementation of the AU Policy Framework on Post-conflict Reconstruction and Development, including the African Solidarity Initiative;
- f) hold joint consultations on the effective implementation of the Common African Defence and Security Policy (CADSP), including on illicit Small Arms and Light Weapons (SALW), Security Sector Reform (SSR), Disarmament, Demobilization and Reintegration (DDR), Weapons of Mass Destruction, Non-proliferation and Landmines action.

E. Partnership Review Mechanisms

In order to keep the partnership and its implementation under review and continuously updated, the two organizations need to meet regularly at various levels to discuss all issues of mutual interest, including the progress of the partnership itself. Besides the regular bilateral meetings between the two organizations at various levels, UNOAU will also lead consultations and coordination with other UN entities through the Peace and Security Cluster of the Regional Cooperation Mechanism.

1. Regular UNOAU-AUPSD discussion of partnership implementation:

- a) Hold regular meetings of the UNOAU SRSG and the AU PS Commissioner and other appropriate entities to discuss progress of common work and make necessary decisions;
- b) organize annual retreats to develop a joint annual workplan (with joint teams created to implement specific projects/initiatives), take stock of the implementation of previous workplans, and review/renew this framework as necessary.



2. Joint Task Force to review and appraise partnership:

- a) Continue to meet twice a year, and conduct additional discussions by VTC as needed.
- b) JTF conclusions form the guiding decisions for cooperation between the two organizations, and may be submitted to inform the agenda of the periodic UNSC-AUPSC meetings.

3. Desk-to-Desk meetings

- a) Continue to meet annually, bringing together desk officers from the AU and UN, as well as officers from RECs/RMs, to enhance relations at the working level and to identify joint programmes to be implemented.

4. Annual meetings of the members of the UNSC and the AUPSC

- a) The Commission and the Secretariat will endeavor to identify options to support the strengthening of relations between the organizations at the political level.
- b) In preparing reports to be submitted to the two Councils, the Commission and the Secretariat will endeavor to see that the views of the other organization are included.

F. Resource Mobilization

- a) Given that one of the major challenges facing the AU in the area of peace and security remains the need to ensure sustainable and predictable funding, the AU and UNOAU will work together to identify innovative ways to mobilize resources for AU peace and security efforts, including, but not limited to, AU-led Peace-support Operations (PSOs).

