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## ANNEX

### "African Union Mission in Somalia" (AMISOM IV)

#### 1. IDENTIFICATION

Title/Number	"African Union Mission in Somalia" (AMISOM IV) FED/2010/ 244-443		
Total cost	EUR 67 614 500.58 ( <i>Estimated budget</i> ) EUR 47 000 000 ( <i>EU contribution</i> )		
Aid method / Method of implementation	Project approach — <i>joint management with the African Union</i>		
DAC-code	N/A	Sector	

#### 2. RATIONALE

##### 2.1. Sector context

Somalia is still suffering from the consequences of 18 years of political instability and has recently entered one of the most critical phases of its national history, with the transitional process coming near to an end and the Djibouti peace agreement still to be fully implemented. The security situation remains very fragile, especially in and around Mogadishu. Over the last year, armed opposition groups have launched frequent attacks against the Transitional Federal Government (TFG), which has consequently lost large part of the territory previously under its control. At the same time, the rift between Al-Shabaab and Hizbul Islam has escalated since mid 2009, deteriorating in some cases into open armed confrontations. However, in most parts of the country these frictions have not resulted in a total break-off of their common agenda, mainly because of the inability of the TFG to exploit these divisions.

The internal divisions within the Transitional Federal Institutions prevented the government from responding effectively to the serious threat coming from the insurgents. Four ministers have recently resigned, accusing the TFG of inefficiency, and the appointment of a new Speaker created a row in Parliament.

The lack of an effective and stable government hampers both the implementation of the Djibouti agreement and the reconciliation process. The TFG signed two important agreements with Ahlu Sunna wa Al Jamaa (one of Somalia's major religious opposition groups), and with Puntland last year but their implementation remains limited.

Mogadishu remains a war zone where private militia and different groups of regular and irregular armed forces are involved in armed attacks on a daily basis, often involving non-military targets. Humanitarian access is severely constrained and can only reach a few areas of the country, taking a severe toll on civilians.

In February 2007 the United Nations Security Council authorised the African Union (AU) to conduct a peace support operation in Somalia (AMISOM). The objective of the mission is to support the Somali Transitional Federal Institutions (TFIs) in their reconciliation efforts;

facilitate the provision of humanitarian assistance; and create conducive conditions for long-term stabilisation, reconstruction and development. AMISOM is proving to be crucial for the survival of the Somali Transitional Institutions by helping to create the minimum security pre-conditions for continuing the peace process and providing humanitarian assistance to the Somalis.

The Peace and Security Council of the African Union at its 214th meeting held on 8 January 2010 decided to renew the mandate of AMISOM for a period of twelve months, beginning from 17 January 2010. The UN Security Council resolution 1910 of 28 January 2010 subsequently authorised the members of the AU to maintain AMISOM until 31 January 2011.

## **2.2. Lessons learnt**

AMISOM has not yet undergone a formal evaluation. The first EC contribution agreement to support AMISOM, worth EUR 15 000 000 and covering the period 1 March 2007 to 31 October 2008, was audited in 2009. The audit report identified financial audit findings worth EUR 29 911 and EUR 34 405 subject to further consideration by the Commission of EUR 11 867 300 paid, which can be considered a positive result. The second and third EC contribution agreements to support AMISOM, worth respectively EUR 20 000 000 and EUR 60 000 000, will be audited in 2010.

EU technical assistants provide constant monitoring of the operation in both Nairobi (Kenya) and Addis Ababa (Ethiopia). The AU held a workshop in February 2009 on the lessons learnt from the African Union Mission in Sudan (AMIS) where recommendations on how to improve the management of peace support operations were adopted, including the development of AU Financial Management Guidelines for peace support operations.

A mid-term evaluation of the APF took place in late 2005. It came to the conclusion that the APF had been highly relevant and that the strategy adopted had proved to be appropriate and effective. The evaluation also stated that it was too early to judge the impact of the APF or the sustainability of the results. The evaluation recommended that the APF should continue in much the same form with a strong emphasis on current principles, in particular that of African ownership.

## **2.3. Complementary actions**

The EU provides regular assistance to the security sector in Somalia through EDF country-specific projects and programmes, including support to the police and rule of law and security initiatives implemented by the UN and NGOs. The Strategic Planning and Management Unit (SPMU) of AMISOM received support through the EU Instrument for Stability (IfS) until 30 November 2009 and has been funded by the APF after that date. Experts from EU Member States have also been seconded to the SPMU to work in specific areas. The EU's contribution complements pledges worth over USD 200 000 000 made at the Somalia Security Sector donors' conference held in Brussels in April 2009.

Humanitarian and development assistance continue to be among the major priorities of EU action in Somalia. The baseline for the EU's medium- to long-term assistance strategy is established by the Joint Strategy Paper (JSP) for 2008-2013 collectively adopted by Denmark, Finland, France, Italy, Sweden, the UK and the EU, plus Norway, as their contribution to the Somalia Reconstruction and Development Programme (RDP). Pursuant to the JSP, the EU's 10th EDF National Indicative Programme has a budget of EUR 215 400 000.

DG ECHO addresses the humanitarian needs of the affected Somali population through UN agencies, the International Committee of the Red Cross and international NGOs, most of which work closely with local Somali organisations. In the course of 2009 alone, EC humanitarian aid accounts for about EUR 45 000 000; whilst in 2010, a total of EUR 35 000 000 have been allocated.

The European Union is conducting a military operation to help deter, prevent and repress acts of piracy and armed robbery off the coast of Somalia. This military operation, named European Union Naval Force Somalia – Operation ATALANTA, is tasked to protect vessels of the World Food Programme, humanitarian aid and African Union Military Mission in Somalia (AMISOM) shipping; protect vulnerable shipping; help deter, prevent and repress acts of piracy and armed robbery; and monitor fishing activities off the coast of Somalia. This operation is being conducted in the framework of the Common Security and Defense Policy (CSDP). The operation's mandate was recently extended by the Council until December 2010.

On 7 April 2010 the EU also launched a military training mission for Somalia (EUTM). The objective of this mission, in line with UNSC resolution 1872 (2009), is to support the training of 2000 Somali recruits up to platoon level, including appropriate modular and specialized training for officers and non-commissioned officers. Operationally, the training started at the beginning of May. 1 000 Somali recruits are currently trained in Uganda. The EU military mission operates in close cooperation and coordination with international partners in particular the UN, US and the African Union.

#### **2.4. Donor coordination**

AMISOM is financed by a broad set of donors, including EU and non EU countries. Financial and in-kind contributions are made directly to the AU or to the Troop Contributing Countries (TCCs) of the operation. Donors' coordination builds on monthly African Union Partners' Groups (AUPG) Meetings in Addis Ababa, Somalia Donor Meetings in Nairobi as well as coordination meetings at Brussels level. Both political, operational and financial management issues are addressed at these meetings.

In addition, a Joint Security Committee (JSC), set up under the Djibouti Agreement, is tasked to harmonise work by the government and the international community to support Somalia's national security institutions, such as the army and police. The JSC consists of representatives from the AMISOM, the UN Political Office for Somalia, and other members of the international community, including the EU, Intergovernmental Authority for Development (IGAD) and the League of Arab States.

### **3. DESCRIPTION**

#### **3.1. Objectives**

The overall aim is to promote long-term peace, security and good governance in Somalia. It is based on an objective which is widely accepted internationally, namely to initiate and accomplish all the planning involved in the creation of an environment conducive to national reconciliation, lasting peace and stability in a united Somalia, where human rights are respected, the protection of all citizens assured and internally displaced persons and refugees can return home in safety and dignity.

### **3.2. Expected results and main activities**

Following the decision taken by the African Union (AU) Peace and Security Council (PSC) on 19 January 2007, AMISOM is authorised to deploy to Somalia to provide support to the Transitional Federal Institutions (TFI) in their efforts to stabilise the situation in the country and promote dialogue and reconciliation; to facilitate the provision of humanitarian assistance; and to create conducive conditions for long-term stabilisation, reconstruction and development in Somalia. In this connection AMISOM will undertake the following **activities**:

- a.** to support dialogue and reconciliation in Somalia, working with all stakeholders;
- b.** to provide, as appropriate, protection to the TFIs and their key infrastructure, to enable them carry out their functions;
- c.** to assist in the implementation of the national Security and Stabilisation plan (NSSP), particularly the effective re-establishment and training of all inclusive Somali security forces, bearing in mind the programs already being implemented by some of Somalia's bilateral and multilateral partners;
- d.** to provide, within its capacities and as appropriate, technical and other support to the disarmament and stabilisation efforts;
- e.** to facilitate, as may be required and within its capacities humanitarian operations, including the repatriation of refugees and resettlement of internally displaced persons (IDPs); and
- f.** to protect its personnel, installations and equipment, including the right of self-defence.

The AU PSC asked AMISOM to take the necessary steps to support the implementation of the Djibouti Agreement signed on 18 August 2008.

The success of the operation can be measured through the following indicators:

- a) improvement of the security situation in Somalia;
- b) Transitional Federal Government (TFG) and Parliament functioning from Mogadishu;
- c) progressive establishment of TFIs in all regions;
- d) progress in the handover to the advance contingent of a UN-led peacekeeping mission;
- e) commencement of a programme of disarmament of armed groups;
- f) stabilisation of the current hostile environment in Somalia;
- g) return of IDPs and refugees and arrangements for displaced voters to participate in the election should it be held before they are able to return.

### **3.3. Risks and assumptions**

As regards the political and security context, AMISOM evolves in a volatile environment with active warring factions already attacking AMISOM troops deployed on the territory.

The President and TFIs have committed themselves to inclusive and positive reconciliation dialogue with internal and external stakeholders. The goal is to achieve broad-based, representative institutions and an inclusive political process, as envisaged in the Somali Transitional Federal Charter, in order to secure stability, peace and reconciliation in Somalia. Failing to achieve this will inevitably reinforce the conditions of hostility in Somalia, jeopardising the momentum for peace reached in recent months. Current confrontations in the capital are clearly along clan lines with foreign countries providing support to both sides.

The AU is still building up the necessary capacities to develop, implement and monitor the operation. Moreover, although a number of countries committed troops to the exercise, many of these commitments have not been confirmed. Potential TCCs have expressed concern that the Somalis lack a clear political framework and agreement against which the deployment will be based. With seven battalions on the ground AMISOM remains below its authorised strength of nine battalions and 8000 peacekeepers.

AMISOM suffers from management weaknesses that are both specific to the operation and of general concern with regard to the way EU funds are handled by the AU. On the first point the AUC has taken steps to address AMISOM's financial management through a series of priority actions adopted over the last months. These include the review and redistribution of responsibilities in the budget preparation and execution process, recruitment of a high-calibre Head of Finance and Accounting within AMISOM and the tightening of AMISOM's internal control procedures. These ongoing efforts have had a positive impact on the quality of AMISOM's financial management.

During a mission to Addis, AIDCO Director General Mr K. Richelle agreed with AUC Deputy Chairperson Mr E. Mwencha on a number of measures to improve the general administrative and financial management by the AU of APF-funded actions. These were set out in an Aide-Memoire signed on 27 August 2009. The measures concerning AMISOM are integrated as special conditions in the EU/AU contribution agreements and provide for bi-monthly reporting; constant monitoring by technical assistants and possibility for the EU to demand an expenditure verification before processing AU requests for payments.

AMISOM had initially been conceived as a starting point for future UN involvement with a stabilisation force under its authority. There is some uncertainty regarding the envisaged transition of the peacekeeping authority from AMISOM to the UN. The indications from the UN are that the AU will probably have to run AMISOM for a longer period than planned and re-structure the operation in the light of a multi-annual commitment.

### **3.4. Crosscutting Issues**

In addition to support with addressing the conflict in Somalia, the Commission provides much wider backing to the African Union. This comprehensive approach enables the organisation to build capacity over a much broader field and hence to increase its visibility and credibility. This, in return, can only enhance its role of honest broker in conflicts within the region.

### **3.5. Stakeholders**

The main beneficiaries of the project will be the population of Somalia. The prospect of opportunities for peace and political agreements between warring groups and/or governments being backed up with swift African Peace Support Operations would not only boost the

population's confidence in the peace process, but would also allow for a quicker return to normality and increased security.

At the institutional level, the African Union would benefit from the project. The support provided would help the organisation to fulfil its mandates in the field of peace and security.

Other stakeholders are all those who are interested in, and benefit from, developing autonomous African Peace Support capacities. This includes the Member States of the AU, the EU and the UN. The latter also benefit from increased African Peace Support, cooperating closely with the AU and other sub-regional organisations in Africa in developing such capacities.

#### **4. IMPLEMENTATION ISSUES**

##### **4.1. Method of implementation**

The method of implementation will be joint management based on the signature of a contribution agreement with the African Union Commission (AUC).

The AU is committed to ensuring adequate implementation of the AU/EC 'Aide Memoire on measures to strengthen AUC Financial Management' signed in Addis Ababa on 27 August 2009 by AIDCO Director Mr K. Richelle and AU Deputy Chairperson E. Mwencha as well as any revision and update of this document. The special conditions of the contribution agreement provide for tighter reporting and control standards including bi-monthly reporting, possibility for the EU to request an expenditure verification before proceeding to payments and presence of technical assistants in Nairobi and Addis Ababa to support administrative and financial management of AMISOM.

##### **4.2. Procurement and grant award procedures**

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the international organisation concerned (AUC). If procurements are outsourced to a UN agency or programme for which the EC/UN Financial and Administrative Framework Agreement (FAFA) is applicable, UN procurement rules may be applied.

#### 4.3. Budget and calendar

Military Component	EUR	34 190 164.73
Police Component	EUR	2 671 571.83
International Staff	EUR	2 895 133.58
National Staff	EUR	265 593.72
Operational Costs	EUR	746 440.53
Official Travel	EUR	24 687.45
Ground Transportation	EUR	1 070 174.42
Medical	EUR	122 012.27
Administration (Workshops)	EUR	138 072.25
Training Project	EUR	2 516 543.93
Indirect Costs (2.5%)	EUR	1 112 959.56
Contingencies (2.8%)	EUR	1 246 645.73
Total amount of EU proposed contribution	EUR	47 000 000.00

It is estimated that the operation will last 6 months, starting on 1 July 2010. To prevent delays and avoid gaps in funding, retroactive financing of activities by the AU is foreseen. Article 6.2 of the financing agreement (3-year Action Programme for the African Peace Facility 2008-2010) states that the organisation may pre-finance certain activities, in accordance with Article 19 of Annex IV of the Cotonou Agreement, provided that expenditures were incurred after the date of the request by the international organisation. The request for the financing of the EUR 47 000 000 was presented by the AU in a *Note Verbale* dated 15 June 2010.

#### 4.4. Performance monitoring

The African Union Commission (AUC) will monitor the overall implementation of the project. As implementing partner, the AUC will assume its obligations regarding information, financial and narrative reports, as specified in the General Conditions of the contribution agreement. In particular, the AUC will present interim narrative and financial reports every two months and a final narrative and financial report upon completion of the project. The AUC will bring to the attention of the European Commission any other issues which are relevant for the implementation of the operation. The EU Delegation to the African Union will be responsible for conducting the day-to-day monitoring required by the EU.

#### 4.5. Evaluation and audit

As for all the actions financed by the African Peace Facility, at an appropriate time the Commission will conduct an external financial audit of AMISOM which will review the overall implementation of the programme and its results. An overall evaluation of the APF will be launched in 2010.

#### 4.6. Communication and visibility

In 2009 and 2010 there have been a number of communication and visibility activities on the African Peace Facility (and hence AMISOM): the production of a brochure, a newsletter and a promotional video (English and French versions available). The APF website ([http://ec.europa.eu/europeaid/where/acp/regional-cooperation/peace/index\\_en.htm](http://ec.europa.eu/europeaid/where/acp/regional-cooperation/peace/index_en.htm)) contains updated information on the operation and links to the AU website on AMISOM. Additional activities will be implemented by the Commission under centralised management, in accordance with 10th EDF rules and procedures.