DRAFT AFRICAN UNION DOCTRINE ON PEACE SUPPORT OPERATIONS
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Acronyms

For the purpose of this Doctrine, the following acronyms mean:

AGA: African Governance Architecture
APSA: African Peace and Security Architecture
ASF: African Standby Force
AU: African Union
AUC: African Union Commission
AUPO: AU Policy Organ
CEWS: Continental Early Warning System
CCCs: Civilian Contributing Country
CSO: Civil Society Organization
DoUF: Directives on the Use of Force
HANDS: Humanitarian Action and Natural Disaster Support
IDPs: Internally Displaced Persons
IHL: International Humanitarian Law
IHRL: International Human Rights Law
MOU: Memorandum of Understanding
NGO: Non-Governmental Organization
OAU: Organization of African Unity
PanWise: Pan-African Network of the Wise
PCC: Police Contributing Country
PCRD: Post Conflict Reconstruction and Development
PoW: Panel of the Wise
PSC: Peace and Security Council
PSD: Peace and Security Department
PSOD: Peace Support Operations Division
PSO: Peace Support Operation
RECs: Regional Economic Communities
RMs: Regional Mechanisms
ROE: Rules of Engagement
SSR: Security Sector Reform
STCDSS: Specialized Technical Committee on Defense, Safety and Security
TCC: Troop Contributing Country
TCE: Training Centre of Excellence
UN: United Nations
Definitions

For the purpose of this Doctrine, the following words or phrases mean:

**African Peace and Security Architecture (APSA):** is the framework through which the AU and RECs/RMs pursue their objectives to prevent, manage, and resolve conflicts, including maintaining peace and security on the continent.

**African Standby Force (ASF):** is an APSA mechanism for preventing and responding to crisis situations on the continent in accordance with Article 13 of the Protocol Relating to the Establishment of the Peace and Security Council of the African Union (2002).

**Assembly:** is the Assembly of Heads of State and Government of the African Union.

**ASF Rapid Deployment Capability:** is a formation of either or a combination of military, police and/or civilian component of the ASF that is capable of deployment of personnel and equipment within 14 days of a mandate by the Peace and Security Council (PSC) or the Assembly.


**AU Doctrine:** is a codification of core principles, practices and approaches that guide AU PSO, within the framework of APSA, as part of AU’s objective to promote peace, security and stability on the continent.

**AU Member State:** a member state of the Union as defined under Article 1 of the Constitutive Act

**AU Policy Organ (AUPO):** is any of the structures (such as the Assembly of Heads of States and Government, the Peace and Security Council or any other – as may be relevant) consisting of AU Member States representatives and performing specific functions relating to development and facilitation of policies, rules, guidelines and processes of the AU.

**AU PSO Area of Operation:** the designated geographic area in which an PSO operates and implements its mandate, as described in an AU PSC mandate.

**AU PSC Protocol (2002):** the Protocol Relating to the Establishment of the Peace and Security Council of the AU.

**Capability/Force Generation:** refers to the process of obtaining required personnel and equipment from AU Member States for deployment to an AU PSO to accomplish a set of objectives and mandated tasks.

**Civil Society Organisations (CSO):** are the sector of society, distinct from government and the private sector, that comprises of social or civic groups like a women’s or youth
organisation or a community peace committee, professional groups like a medical association, non-governmental organizations, and cultural organizations.

**Civilian AU Personnel:** A civilian in an AU PSO context refers to non-uniformed personnel that are not a serving member of the military and police services of their member state. Civilian personnel can be seconded by an AU member state or can be directly employed by the AUC or a PSO.

**Coalition of Member States:** is a group of two or more States that agree to deploy a capability and work jointly to achieve their common peace and security objectives as may be guided by a PSO mandate.

**Complex Emergency Situations:** is a humanitarian crisis that is often the result of a combination of natural disasters, political instability, conflict and violence, social inequities and underlying poverty.¹

**Force:** in the context of the African Standby Force: refers to military, police and civilian components of a PSO.

**Force Employment:** refers to all actions and processes aimed at facilitating the deployment of available personnel and equipment to a mission area for implementation of the mandate of a PSO.

**Force Preparation:** refers to all actions and processes through which personnel and equipment are made available and ready for deployment

**Integrated PSO:** refers to a PSO that ensures the implementation of its mandate is facilitated using appropriate mechanisms for systematic cooperation, coordination and collaboration with different stakeholders across the peace, security, development and humanitarian nexus in a conflict area.

**Lead Nation:** is a nation with the capabilities, competencies and influence to lead processes for coordinating the planning, deployment, and execution of a multinational PSO under the authority and guidance of a mandating entity.

**Multidimensional PSO:** refers to a PSO comprising of more than one of the three components, namely, the military, police or civilian working together to implement its mandate.

**Multifunctional and Multidisciplinary PSO:** refers to a PSO that utilizes different processes and modalities to support its objectives and mandate, including but not limited to dialogue and reconciliation, security initiatives as well as institutional capacity building and peacebuilding measures to facilitate implementation and achievement of its mandate.

**Multinational PSO:** refers to a PSO with TCCs and PCCs from more than one Member State.

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¹ Original definition from Food and Agricultural Organisation (FAO) with some elements from the AU Policy Guideline on the Role of the ASF in Humanitarian Action and Natural Disaster Support (HANDS).
cies and serving as pillars of the AU African Regional Mechanisms for Conflict Prevention, Management and Resolution which Non-Governmental Organisations (NGO): are any non-for-profit, civil groups which are organized at a local, national or international level\(^2\), most commonly working in the areas of peace, development, human rights, humanitarian action, environment, women, youth and many other areas of public action.

**Non-State Actors**: are individuals or groups that hold influence and which are wholly or partly independent of a sovereign state.

**Peace Support Operations (PSO)**: refers to a generally multinational, multifunctional and multidimensional operation, mandated and deployed by an international or regional or cross regional arrangements to restore or maintain peace within a specific area of operations.

- **AU Peace Support Operations (AUPSO)** refers to a PSO mandated by the Assembly, Peace and Security Council or other AU Policy Organ wherein the AU exercises direct Command, Control and Management.
- **AU Authorized/Endorsed/Recognised PSO** refers to a PSO that is authorized, endorsed or recognised by the PSC, and where the AU does not exercise direct Command, Control and Management of the PSO, but provides additional support\(^3\) through a cooperation agreement, or any other legal framework in line with the provisions of Article 16 of the PSC Protocol (2002).

**Post Force Employment**: refers to all actions and processes during the transition, drawdown, withdrawal and liquidation phases of a PSO aimed at facilitating the repatriation of PSO personnel back to their home country as well as disposal of equipment or a return of such equipment to a base where they are stored and maintained for future use.\(^4\)

**Private Sector**: refers to the part of the economy of a Member State owned by private individuals or groups, usually as a means of enterprise for profit.

**Regional Economic Communities (REC)**: are the regional groupings of African States organized into legal entities by treaty, with economic and social integration as a main objective but also with peace and security responsibilities that serve as pillars of the AU.

**Regional Mechanisms (RM)**: refers to the African Regional Mechanisms for Conflict Prevention, Management and Resolution\(^5\) which are part of the overall security architecture of the African Union.

**Stakeholders are**: independent actors or entities with a specific interest in the peace process or conflict where a PSO is deployed.

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\(^2\) United Nations Civil Society Unit definition

\(^3\) According to the AU-MNJTF Support Implementation Agreement signed in 2015, “AU additional support shall be to augment several lines of support depending on the requests and priorities set by [the] leadership” of an AU authorised PSO.


\(^5\) Article 1(h) of the AU PSC Protocol (2002)
The Union: means the African Union which comprises all the Heads of State and Government of African Union established by Member States that have ratified the AU Constitutive Act (2000).\(^6\)

\(^6\) Article 1 of the AU Constitutive Act (2000)
Chapter 1: Background, Purpose, Scope and Application

Introduction

1. The African Union (AU) Doctrine on Peace Support Operations (PSO) is a codification of core principles, practices and approaches that guides AU PSO as part of the AU’s objective to promote peace, security and stability on the continent, within the framework of the African Peace and Security Architecture (APSA) and in partnership with the RECs/RMs, the UN Security Council as the ultimate authority in international peace and security and other partners. This doctrine provides the strategic direction and guiding principles that inform how the AU deploys PSO, as one of the tools for the prevention, management and resolution of conflicts, and as part of its larger contribution to sustainable peace and security in response to complex emergency situations on the continent.

2. The AU Doctrine on PSO is informed by the history, experiences and realities of the AU, Regional Economic Communities/Regional Mechanisms (RECs/RMs) and AU Member States in addressing security challenges through the deployment of PSO. It represents one of the contributions to promote the goal to silence the guns in Africa and a manifestation of recent and ongoing PSO experiences of the AU. It also serves as one of AU’s approaches to facilitate collective security, including through close collaboration with other relevant stakeholders in addressing security challenges in Africa.

Background

3. Peace, security and stability on the continent are key objectives of the AU, as part of efforts to facilitate the regional integration agenda. Within this context, the AU notes that Member States can be subject to a variety of multifaceted and complex human-made and natural risks that are most times difficult to predict, prevent and manage. In this regard, the AU established mechanisms to prevent and address threats to peace, security and stability on the continent. This is as a result of understanding of possible threats within Member States with some that also transcend state and regional boundaries. Some of these threats include political exclusion and oppression, identity based conflict, the rise of non-state armed actors, economic decline, the collapse of political orders, and the proliferation of small arms, terrorism and organised crime which are factors for concern.

4. These factors, coupled with accelerated technological developments, had and continue to contribute to an increase in the number of non-state actors as well as new political settlements and political cultures that give rise to civic, national and ethnic-based violence due to irredentist and secessionist aspirations and movements. This change in the nature of insecurity on the African continent

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7 Solemn Declaration on a Common African Defence and Security Policy
contributes to the emergence and re-emergence of a number of intra-state armed conflicts which are leading to the deterioration of security in Africa. As a result, the rise in the number and intensity of complex security challenges in the latter part of the twentieth century led to the development of relevant normative and legal responses and frameworks by the AU to respond to instances of insecurities to address both underlying causes and their symptoms of conflict.\(^9\)

5. When crisis arise, they are deeply complex and involve state and non-state actors at various levels. These complex conflicts consists of causes and symptoms which may be inter-state, internally focused or transnationally in nature, and often they are a combination, to varying degrees, of all of these levels and actors.\(^10\)

6. Common to all these situations is the flagrant disregard for human life and the targeting of civilian communities and individuals for political gain that may result in gross human rights violations, and war crimes, crimes against humanity and genocide. These conflict situations can also involve cross border and transboundary dynamics such as movement of refugees, as well as internal displacement, and forced migration which can be as a result of a crisis and also a cause for further conflict. Complex conflicts and transnational insecurity can be perpetrated by a variety of state and sub-state actors such as non-state armed groups, militias, political party armed wings and paramilitary entities, criminal elements and armed civilians – and not solely by national or regular armed forces. As a result, social cohesion and state institutions can collapse and law and order can break down even further, leading to increased violence and an exacerbation of conflict dynamics.\(^11\)

7. Underpinned by the development and integration agenda of the continent\(^12\), one of the fundamental reasons for the transformation of the Organisation of African Unity (OAU) to the AU relates to the quest for peace and security and to prevent wars and genocide such as the 1994 Rwanda Genocide.\(^13\) This determination of African leaders to ensure effective responses to situations of conflict and gross human rights abuses on the continent necessitated the shift from a “state-centric’ to “human-centric” approach to security as reflected in the AU Constitutive Act (2000).\(^14\) In this regard, the adoption of the AU Constitutive Act (2000) marked an introduction of the principle of ‘non-indifference’ as adopted by the AU. Whereas, the AU Constitutive Act (2000) upholds the principle of national sovereignty and “the right of Member States to request intervention from the Union in order to restore peace and security”\(^15\), it however also reserves the right of the Union “to intervene in a Member State in

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\(^9\) APSA Road Map 2016-2020 (2015)
\(^10\) Silencing the Guns, p.8
\(^11\) Ibid., p.166
\(^12\) Preamble of the Constitutive Act
\(^13\) OAU/AU 50th Anniversary Solemn Declaration (2013) p.2
\(^14\) Assembly/AU/Decl.3(XXI) on the Solemn Declaration on a Common African Defence and Security Policy (2004)) p.3. The AU Constitutive Act (2000) provides the legal framework and principles for the AU to address the multifaceted challenges that confronts the continent and peoples of Africa.
\(^15\) Article 4(j) of the AU Constitutive Act (2000).
respect of grave circumstances namely: war crimes, genocide and crimes against humanity”.  

8. The AU Constitutive Act (2000) also emphasises the inseparable link between security and development. This inseparable link is reflected in its Preamble, indicating “that the scourge of conflicts in Africa constitutes a major impediment to the socio-economic development of the continent”. The Preamble also notes “the need to promote peace, security and stability as a prerequisite for the implementation of [Africa’s] development and integration agenda”. In this regard, the AU PSC Protocol (2002) embraces an expanded and comprehensive agenda for peace and security that includes conflict prevention, early warning, preventive diplomacy, mediation, peacemaking, peace support operations, post-conflict reconstruction, peacebuilding and humanitarian and disaster management.

9. The APSA is the embodiment of this expanded agenda for peace and security with the PSC at its core, as a standing decision-making organ for the prevention, management and resolution of conflicts on the continent. The APSA through the PSC is a collective security and early warning arrangement through which the AU, RECs/RMs and AU Member States have developed several tools, frameworks, mechanisms and processes for the prevention, management and resolution of conflicts on the continent, including support in the reconstruction and stabilization of affected countries. This is aimed to ensure that the AU has its own mechanisms for the maintenance of peace and security on the continent.

10. In implementing the objectives of the APSA and realising the aim of effective collective security and early warning, the AU PSC is supported by the APSA pillars, namely: the Continental Early Warning System (CEWS), the Panel of the Wise (PoWo), the African Standby Force (ASF) and the AU Peace Fund.

11. African Standby Force is the standby arrangement foreseen in the APSA through which forces and personnel are generated for the deployment to AU PSOs, as contained in Article 13 of the PSC Protocol. The ASF was established in 2003 and was declared operational in 2016, after the AMANI Africa Field Training Exercise, was held in 2015. The ASF is drawn from 3 RECs and 2 RMs with each expected to contribute Civilian, Military and Police capabilities including a Rapid Deployment Capability (RDC), and each regional standby arrangement takes a turn to be on a higher level of readiness for six-months.

12. The APSA is further complemented by the African Governance Architecture (AGA) that is based on the African Charter on Democracy, Elections and Governance adopted in January 2007. The complementarity between the APSA and the AGA is reflected in

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16 Article 4(h) of the AU Constitutive Act, (2000)
17 Preamble of the AU Constitutive Act (2000)
18 APSA refers to the framework through which the AU and RECs/RMs realise their mandate to prevent, manage, and resolve conflicts, including the maintenance of peace and security on the continent.
19 Protocol Establishing the Peace and Security Council of the African Union
20 9th STCDSS Declaration
Agenda 2063 and the Master Roadmap on Silencing the Guns by 2020 (2017)\textsuperscript{21} which is critical to ensure root causes of conflicts are addressed. This is pursuant to the AU’s expanded and comprehensive agenda for peace and security that spans from conflict prevention to post-conflict reconstruction and peacebuilding. It is also in line with the resolve of African Heads of State and Government “not to bequeath the burden of conflicts to the next generation of Africans” as outlined in the Solemn Declaration on the 50\textsuperscript{th} Anniversary of the OAU/AU adopted by the 21\textsuperscript{st} AU Assembly of Heads of State and Government in May 2013.\textsuperscript{22} (Assembly/AU/Decl.3(XXI)

13. The operationalization of the APSA takes into account the significance of the relationship and strategic partnership between the AU PSC and UN Security Council, pursuant to Chapter VIII of the UN Charter. This is outlined in Article 3(e&f) of the AU Constitutive Act (2000), indicating the need to encourage international cooperation, taking due account of the UN Charter and the Universal Declaration of Human Rights as well as to promote peace, security, and stability on the continent.\textsuperscript{23} As a result of this strategic partnership, the AU PSC shall cooperate and work closely with the UN Security Council, which has the primary responsibility for the maintenance of international peace and security.\textsuperscript{24} This also includes cooperation with other relevant UN Agencies in the promotion of peace, security and stability in Africa.

14. Article 16(2) of the AU PSC Protocol (2002) also outlines that the AU PSC shall consult with RECs/RMs, to promote initiatives aimed at anticipating and preventing conflicts as well as peace-making and peacebuilding in situations where conflicts have occurred. In this regard, consultation, coordination and cooperation between the AU and RECs/RMs is paramount as well as with Member States and their national early warning capabilities.

15. It is evident that the AU, the UN and the RECs/RMs will not be the only stakeholder in any PSO. Thus, effective partnership through consultation, coordination and cooperation with all stakeholders in a conflict is critical for the success of AU PSO.

**Purpose**

16. This doctrine primarily sets out common fundamental principles, concepts, practices and approaches to guide the processes and policy frameworks for mandating, deployment and management of multidimensional AU PSO aimed at preventing, managing and resolving conflicts. It forms the basis for the development of subordinate and subsidiary policy documents such as standards, guidelines and directives that form the overall guidance for the planning, force generation, deployment, management, command and control, support, and liquidation of AU PSO.

\textsuperscript{21} The Master Roadmap on Silencing the Guns by 2020 (2017) developed by the PSC, presents detailed actions aimed at addressing major scourges of peace and security on the continent, which AU PSO contributes to, through support to prevent conflict and/or its escalation.

\textsuperscript{22} Assembly/AU/Decl.3(XXI).

\textsuperscript{23} Article 3(f) of the AU Constitutive Act (2000)

\textsuperscript{24} Article 17(1) of the AU PSC Protocol (2002)
Scope

17. This doctrine shall inform decision making, with respect to force/capability generation and preparation, force employment, and post force employment including the training of all AU PSO personnel (civilian, police and military components) at continental, regional and national levels. All processes to mandate, plan, deploy, monitor, manage, sustain, and liquidate AU PSO must be informed by this doctrine.

Application

18. This doctrine is intended to guide the AU [inclusive of the PSC and/or the AU Assembly of Heads of States and Governments of the AU - as appropriate], RECs/RMs and Member States in assessing situations, mandating, planning, deploying, launching, monitoring, managing, evaluating, sustaining and liquidating of AU PSO. The doctrine shall also be used, mutatis mutandis by the PSC when it mandates, authorises, endorses or recognises a PSO, and when it considers the performance and continuation as well as drawdown or withdrawal of an AU PSO.
Chapter 2: Context of AU PSO and Strategic Concepts

Introduction

19. An AU PSO is part of the APSA’s expanded and comprehensive agenda that will be used by the PSC, the Assembly and other AU policy organs and which includes conflict prevention, early warning and preventive diplomacy, peace-making (including the use of good offices, mediation, conciliation, and enquiry), conflict management, post-conflict reconstruction and development, humanitarian support and disaster management. AU PSO are multifunctional and multidimensional operations in which impartial activities of military, police and civilian components work to restore or maintain peace within a specific timeframe and area of operations, in pursuit of AU principles and objectives, within the APSA and AGA frameworks.\(^{25}\)

20. AU PSO are intended to assist countries in conflict to create conditions or an enabling environment for political processes led by national and other stakeholders to prevent or resolve conflicts. If those conditions do not exist or are threatened, an AU PSO can be deployed to support efforts to re-establish or create such conditions for political processes aimed at preventing conflict and/or its escalation. In this regard, AU PSO may also be deployed to create space for peace to be kept and assist national actors for peace to be sustained. In addition, PSO capabilities will also be used to support humanitarian and relief efforts as well as broader stabilization processes.

21. As this expanded and comprehensive agenda for peace and security indicates, AU PSO is not the first and/or only form of response available to the PSC to prevent and manage conflicts and complex emergencies.\(^{26}\) It also reinforces that when appropriate, AU PSO can be deployed as multidimensional and multidisciplinary operations that combine and integrate several elements of the APSA into one multifunctional AU PSO, with the aim to adequately address the interconnected causes and symptoms of conflicts, support humanitarian and relief efforts as well as broader stabilization processes.\(^{27}\)

In this regard,

22. AU PSO, including where PSO capabilities are required to support other complex emergencies, such as Humanitarian Action and Natural Disaster Support (HANDS) shall be mandated, authorized, endorsed or recognized by AU Policy Organs (inclusive of the PSC and/or the AU Assembly - as appropriate).

Conceptualising Peace and Security Approaches & Responses

23. It is essential to appreciate the strategic context and the nature of conflict that will shape the conditions within which an AU PSO is conducted, including the means that are used. Whilst no two PSO will be the same, the use of fundamental concepts and principles at the strategic level will aid the initial planning and implementation of an AU PSO.

\(^{25}\) Article 6 of the Protocol Relating to the Establishment of the Peace and Security Council (2002)

\(^{26}\) ASF Doctrine (2003)

24. Article 3(l) of the Constitutive Act (2000) and Article 16 of the PSC Protocol (2002) provide that the RECs/RMs are a constituent part of APSA and highlight the need to “coordinate and harmonize the policies between the existing and future RECs/RMs for the gradual attainment of the objectives of the Union”. These provisions also call for regular exchange of information, close harmonization, coordination, cooperation and effective partnership between the AU PSC and the RECs/RMs with respect to conflict prevention, early warning, preventive diplomacy, mediation, peace-making, conflict management, post-conflict reconstruction, peace-building, humanitarian and disaster management. To facilitate these processes, the APSA framework and tools enables the AU PSC to discharge its responsibility for the promotion and maintenance of peace and security on the continent.

25. In enhancing conflict prevention, early warning, preventive diplomacy and mediation, the AU and RECs/RMs have established collective security and early warning systems at the continental and regional levels to provide decision makers with timely information, analysis and recommendations to prevent and/or respond to conflict situations. In this regard, coordination between the Continental Early Warning Systems (CEWS) of the AU and the Early Warning Systems of the RECs/RMs and AU Member States is critical for enhanced collaboration and cooperation for the prevention of conflicts and/or its escalation and for the planning, deployment and ongoing management of AU PSO.

26. In respect of preventive diplomacy and mediation, the AU has established the Pan-African Network of the Wise (PanWise) and Network of African Women in Conflict Prevention and Mediation (referred to as FemWise) to support the role and work of the AU. These tools help to bring together relevant mediation actors to support the work of the AU, RECs/RMs and African civil society to enhance efforts for preventive diplomacy and mediation. In this regard, AU PSO can be deployed as an instrument to support conflict prevention and preventive diplomacy. AU PSO can further be deployed to create conditions conducive for mediation and negotiation, and can be employed to help to implement cease-fire or peace agreements reached through AU-led mediation efforts. Once an AU PSO is deployed it should continue to support the political process and facilitate further mediation as may be necessary.

27. In respect of conflict management, the AU, RECs/RMs and AU Member States are expected as per the Policy Framework for the Establishment of the African Standby Force and the Military Staff Committee (2003) to continue enhancing the ASF, including other forms of multidimensional AU PSO capabilities to manage conflicts. This is in line with the evolution of AU PSO and other subsequent guidance documents, including the need for all AU PSO to take into account, the linkages between APSA and

28 See Communique of the 665th meeting of the PSC on the activities of the AU Panel of the Wise for the year 2016 on the creation of FEMWISE and the 2014 Decision of Ministers of Gender calling for the creation of an association of women in mediation.
29 The framework of the ASF includes the structures, suite of common policy documents, harmonised training standards as well as continental training coordination mechanisms that guides the AU, RECs/RMs and Member States to facilitate planning, deployment, management and liquidation of AU PSO.
AGA in the implementation of their mandates. The Policy on Post-Conflict Reconstruction and Development (2006), also offers a framework to ensure effective linkages between the core mandates of AU PSO with efforts to assist countries to build resilient structures and systems for durable peace. This also includes efforts relating to Transitional Justice Disarmament; Demobilisation and Reintegration (DDR); and Security Sector Reform (SSR), the latter being guided by the AU Policy Framework on Security Sector Reform (2013) which provides a basis to support AU Member States and the RECs/RMs in the formulation, implementation, monitoring and evaluation of SSR processes.

28. In contributing to a comprehensive approach to conflict management, including the employment of PSO, the AU Solemn Declaration on Gender Equality in Africa (2004) guides efforts to facilitate gender mainstreaming in peace and security initiatives. This Declaration, in line with United Nations Security Council Resolution 1325, serves as a framework for ensuring the full and effective participation and representation of women in peace processes - including the prevention, management and resolution of conflicts and post-conflict reconstruction efforts in Africa. The AU Gender Policy (2009) also seeks to provide guidance for enhancing the role of women in creating an enabling, stable and peaceful environment for the pursuit of Africa’s development agenda.

29. AU PSO are typically composed of multidimensional elements of both uniformed and civilian personnel. The composition and structures of the mission and the components will depend on the mandate and context and are designed such as to ensure that AU PSO are politically directed and that they operate in an integrated and coordinated manner.

30. The APSA and AGA frameworks are mutually re-enforcing and complementary. AU PSO which are part of the APSA shall therefore support and incorporate as appropriate, all relevant elements of the APSA and AGA frameworks, to meet the objectives of the PSO that may be needed to prevent conflict recurrence and sustain the peace. AU PSO are distinct from special political missions, technical support missions, AU Representational offices, operations in response to natural disaster and complex emergencies, all of which are deployed by the AU with their own mandates.

31. In recognition of the importance of the protection of civilians in the AU’s response to conflict situations and pursuant to Communiqué adopted at the 326th meeting of the AU PSC held on 22 June 2012, PoC must form part of the mandate of all AU PSO. In this regard, all AU PSO shall be conducted in full respect of the principles of IHL and IHRL and shall take precaution, which are crucial to avoiding loss of civilian life, injury to civilians and damage to civilian objects, including critical civilian infrastructure, as well as the environment. As a result, all AU PSO must ensure compliance with International Humanitarian Law (IHL), International Human Rights Law (IHRL), and

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31 The AU Gender Policy (2009)
32 Communiqué of the PSC’s 326th meeting (22 June 2012).
standards of conduct and discipline.\textsuperscript{33} This is in line with the AU’s objective to promote and protect human and peoples’ rights,\textsuperscript{34} and ensure all AU PSO personnel as part of the obligations of their Member States, respect human rights.\textsuperscript{35} Furthermore, the AU and its Member States shall continue to respect and ensure respect for IHL.\textsuperscript{36}
Chapter 3: Principles

Introduction

32. This Doctrine is underpinned by eight core principles that constitute the fundamental values and standards that are essential elements that guide all AU PSO. These principles are derived from the foundational legal, policy and normative instruments of the AU such as the AU Constitutive Act (2000) and other AU statutory provisions and relevant bodies of international law. These principles are interdependent, interrelated and mutually reinforcing and will ensure that AU PSO contributes to stability and in creating the conditions and enabling environment for political process and sustainable peace.

33. The principles in the AU Doctrine on PSO are outlined and explained below:

I. African Leadership
II. Primacy of politics
III. Non-Indifference
IV. Consent
V. Legitimacy
VI. Credibility
VII. Impartiality
VIII. Compliance with International Law and Standards for Conduct
IX. Use of Force

African Leadership

34. African Leadership refers to the responsibility of the AU to provide political and strategic leadership and oversight to AU PSO. This includes the commitment of all stakeholders involved in efforts aimed to address and resolve continental issues, including peace and security challenges, and that all stakeholders undertake to respect AU’s leadership. This is pursuant to the provisions of Article 7(l) of the PSC Protocol (2002) and includes the authority of the AU Assembly, the AU PSC and other relevant organs and structures of the AU to provide decision-making and strategic direction, as well as leadership, management and oversight of its PSO. This is essential to ensure that conflict analysis, prevention and response efforts on the continent are in line with the strategic perspectives of the AU, RECs/RMs and Member states to guarantee durable peace. In this regard, the AU shall take the lead in providing political direction and in developing the broader conflict management and resolution approaches as well as contextually appropriate mission plans for all AU PSO.

Primacy of Politics

35. Primacy of politics refers to the principle and commitment by the AU to ensure that all AU PSO are deployed with the primary objective to facilitate a political end state as

37 ASF Doctrine (2003)
set out in its mandate. In this regard, AU PSO shall be geared towards contributing to the search for solutions to ending violence in the society affected by conflict. As a result, AU PSO are deployed in support of political objectives set out by the AU in the mandate. Additionally, AU PSO shall ensure that efforts for the prevention, management and resolution of conflicts are facilitated through dialogue to achieve peace. Dialogue and peaceful settlement of disputes may however not always be subscribed to by all stakeholders. In such instances, necessary coercive measures may have to be used - guided by International Humanitarian Law, International Human Rights Law and conduct and discipline principles to notably protect civilians. Consequently, all AU PSO shall deployed as part of a political process for the prevention and/or resolution of a conflict and shall at all times be subordinate to the AU political process as reflected in the mandate.

Non-Indifference

36. Non-indifference means that the AU and its Member States shall not stand by and not take action and may deploy even where there is no peace to keep, to prevent and/or respond to grave circumstances namely: war crimes, crimes against humanity and genocide. This is an obligation of AU Member States derived from the AU Constitutive Act (2000) which marked a radical shift from the cardinal OAU principle of non-intervention in national affairs of AU Member States to the principle of non-indifference as adopted by the AU. In this regard, AU PSO may also be mandated to deploy without consent of the Host Nation in accordance with Article 4(h) of the AU Constitutive Act (2002) and in conformity with the Common Africa Defence and Security Policy (2004), and must always respect and ensure respect for International Humanitarian Law, and International Human Rights Law and guidelines of Protection of Civilians. In such instances, the mandate of a PSO will be to intervene, on the basis of the principle of “non-indifference”, to prevent or end gross violations of human rights, genocide and war crimes, and to protect civilians, including where perpetrated by state actors.

Consent

37. Consent refers to the acceptance of the mandate and deployment of a PSO by the host nation and parties to the conflict in support of a peace process. If a cease-fire, political process or peace agreement is in place, consent will include the agreement

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39 In line with Communique of the 326th Meeting of the PSC held on 22 June 2012 in Addis Ababa, Ethiopia this Communique, Council stressed that in addition to mainstreaming the protection of civilians (PoC) in standards operating procedures of AU Peace Support Operations, PoC must form part of the mandate of future AU Missions – Communique 775 and 813

40 The AU continues to demonstrate its commitment to compliance with International Humanitarian Law (IHL), International Human Rights Law (IHRL) and conduct and discipline standards in the conduct of PSOs. This is reflected in its stance highlighted in Communique of the 326th meeting which directs that PoC must form part of the mandate of future AU Missions, Communique of the 775th meeting wherein Council and participants emphasized that all PSOs should uphold the AU PoC Principles and ensure broader compliance and accountability to IHL, IHRL and Conduct and Discipline, Communique of the 813th meeting on the adoption of the Policy on Conduct and Discipline for PSOs and the Policy for Prevention and Response to Sexual Exploitation and Abuse for PSOs and Communique of the 859th Meeting of the PSC which demanded that all parties to armed conflicts fully comply with IHL and reaffirmed the principles of proportionality, precaution and distinction.

of all or some of the signatories to the cease-fire or agreement. Consent therefore requires a commitment to a PSO by the host nation and parties to the conflict. If consent is given by the host nation but cooperation is withheld by other parties to the conflict, the PSO shall employ all efforts to resolve the conflict through dialogue with the other parties. In instances where other parties refuse to cooperate, necessary coercive measures may be used. This includes the degree of cooperation and willingness of the parties to a conflict and the local population to adhere to the terms of a peace process or agreement. The promotion of consent and cooperation is fundamental to achieving the political end-state of all PSO. If any of the parties withdraws consent after the PSO has been deployed but the need for an operation remains, the mandate, character and posture of the mission will have to change accordingly.

38. AU PSO may also be mandated to intervene without consent of the host nation in accordance with Article 4(h) of the AU Constitutive Act (2002). In such instances, the mandate of AU PSO will be on the basis of the principle of "non-indifference" to gross violations of human rights, genocide and war crimes, including when perpetrated by state actors.

39. AU PSO must strive to ensure that consent is managed and sustained at all levels, while at the same time assisting in the implementation of a peace agreement or supporting a peace process. The complete withdrawal of consent by one or more of the parties can challenge the rationale for the PSO and will likely alter the core assumptions and parameters underpinning the strategy of the AU, Host Nation and the international community to support a peace process. In this regard, a PSO should continuously manage the situation with the aim to sustain or further improve consent, by analysing its operating environment to detect and forestall any wavering of consent. However, concerns about consent should not prevent a mission from carrying out its mandate, such as for instance the protection of civilians. Consent need to be pursued in balance with the other principles highlighted in this doctrine.

Legitimacy

40. Legitimacy of an AU PSO is premised on the mandate issued by an appropriate policy organ of the AU as well as parties to the conflict for an AU PSO.  
41. The legitimacy of a PSO is a crucial factor for drawing support from AU Member States, RECs/RMs, the UN, international community, parties to the conflict and local population. However, the perception of legitimacy will vary amongst various stakeholders in a conflict situation. Perceptions of legitimacy may change over time, depending on political activity, expectations of the population and conflict parties, local conditions, and the performance of the PSO.

42. The manner in which an AU PSO conducts itself will have a profound impact on its perceived legitimacy on the ground. The firmness and fairness with which an AU PSO exercises its mandate, the timeliness of the PSO to respond to emerging issues in the
area of operation, the respect it shows to local culture, institutions and laws, and the manner in which it engages with the population all have a direct impact upon perceptions of the mission’s legitimacy.

43. The bearing and behaviour of all AU personnel must be in adherence with the AU standards of conduct, International Humanitarian Law and International Human Rights Law and should meet the highest standards of professionalism, efficiency, competence and integrity. In instances of allegations or violations of accepted standards of conduct, immediate and remedial responses shall be taken by the AU and C/P/TCCs to ensure redress and prevent similar instances in the future.

Credibility

44. Credibility is the trust bestowed to a PSO by parties to the conflict in the belief that the PSO will deliver the expected objectives. Establishing credibility will also create confidence in the operation, not only amongst the parties to the conflict and the population, but also with the international community and with relevant stakeholders working with and alongside the PSO.

45. A precondition for the credibility of an AU PSO should include a clear deliverable and achievable mandate and unity of effort by all stakeholders in the area of operation. This includes being able to deploy and respond quickly to the conflict situation with the requisite capabilities and operational effectiveness.

46. The loss of credibility will have significant negative consequences for a PSO, including reduced cooperation by parties to the conflict and support from the population which is very critical. Such loss of credibility can include actual or perceived failure to protect civilians and deter human rights abuses of the population. In this respect, effective promotion and respect for human rights and International Humanitarian law, in addition to fulfilling other applicable legal obligations, will help establish and maintain the credibility of a PSO.

(IHL) (IHRL) Impartiality

47. Impartiality refers to the objectivity and fairness of a PSO which is expected to not take sides in the implementation of the mandate. In this regard, all AU PSO in their mandates and implementation shall always be impartial and ensure that they do not favour one party over another. In this regard, cooperation is expected from all parties to the conflict to enable AU PSO to employ all efforts to resolve the conflict through dialogue. In instances where any of the parties to a conflict may refuse to cooperate, the AU PSO shall be mandated and authorised to use necessary coercive measures to bring parties to dialogue to resolve the issues. This may include the need to ensure protection of civilians in line with the mandate and the responsibility and obligation of the AU and its Member States to prevent or respond to war crimes, genocide and crimes against humanity and respect international law more generally. Under these

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43 Credibility is an accepted core element of all PSOs. See ASF Doctrine (2003) and UN Capstone Doctrine (2008)
circumstances, AU PSO shall not be indifferent but will act in accordance with its mandate as well as responsibility and obligation to protect civilians under international law.

48. AU PSO must implement the mandate without favour or prejudice to any party. This is noting that AU PSO may depend in part on perceptions of impartiality, legitimacy and credibility by parties, and risks being perceived as supporting one group(s) over others and/or considered a party to the conflict. Impartiality is therefore crucial to maintaining the consent and cooperation of the parties, but should not be confused with neutrality or inactivity. AU PSO should be impartial in their dealings with the parties to the conflict, but not neutral in the execution of their mandate, including the use of force when required, and as stipulated in the mandate of a PSO.

The Use of Force

49. The use of force is the employment of lethal and non-lethal measures by AU PSO personnel to ensure or compel an unwilling party to comply with the political process for the resolution of a conflict, the mandate of the PSO and international law. In this regard, use of force must be guided by applicable IHL, IHRL provisions and standards and other applicable guidelines.

50. The framework governing the use of force is critical in the employment of lethal and non-lethal measures by AU PSO. The details on how and when force will be used in each AU PSO will be specified in the AU Rules of Engagement (ROE) for the military component, AU Directives on the Use of Force (DoUF) for the police component and other applicable guidance documents for the civilian component.

51. Misuse of force can have a negative effect on the ability of a PSO to achieve its long-term goal of contributing to durable peace, as well as the safety and security of mission personnel, premises and facilities. Any use of force should be carefully managed with the capability and willingness to use force applied prudently and all positive measures, including risk assessment taken to avoid or minimise casualties of non-combatants, own mission personnel and installations and collateral damage. Nonetheless, all necessary force shall be used when a PSO is at risk, to create an immediate impact, deter further acts of aggression and maintain credibility and stability. Whatever the circumstances, the use of force should be seen as a tool to set the conditions and create an enabling environment in support of a political process towards achieving peace in the long-term.

52. Within the context of the principle of the use of force, AU PSO personnel shall abide by all requirements applicable under AU Compliance and Accountability Framework IHL, IHRL, Conduct and Discipline and other appropriate applicable international norms and standards. In particular, AU PSO personnel shall ensure that all detainees in their custody, including disengaged fighters are treated in strict compliance with AU guidelines on detainees and disengaged fighters and applicable obligations under IHL and IHRL.

Compliance with International Law and Standards for Conduct
53. The African Union (AU) is dedicated to ensure that all AU PSO have a protection mandate and are compliant with IHL, and IHRL as well as applicable international norms and standards of conduct and discipline. In this regard, a comprehensive framework for conduct and discipline compliance and accountability in AU PSO guides the development and review of required policies and guidelines. This includes policies and guidelines that ensures adherence to applicable IHL, IHRL and conduct and discipline principles and AU PSO Code of Conduct. This is done taking into account the nature of contemporary threats and contexts in which AU PSO are deployed into.

54. The AU Compliance and Accountability Framework IHL, IHRL and Conduct and Discipline sets out steps and approaches for policy development, review and effective implementation of IHL, human rights and conduct and discipline obligations. This includes policies and processes for preventive measures during planning, training, monitoring as well as response and accountability mechanisms at the strategic and mission levels to address allegations and violations if they occur.

55. As part of these efforts, Protection of Civilians characterizes the shift from ‘non-interference’ to ‘non-indifference’ as well as the shift from state centric to human centric approaches of security. The Protection of Civilians norm therefore underpins all AU PSO as re-iterated by the PSC that all current and future AU PSO shall have a Protection of Civilians mandate. The AU has also developed a set of guidelines for ensuring protection of civilian through a four tier approach as follows:
   a. protection as part of the political process;
   b. protection from physical violence;
   c. rights based protection; and
   d. establishment of a protective environment.

56. Related to PoC is the adoption, harmonization and integration of international law and international PSO norms into strategic, operational and tactical policies, guidelines, approaches and activities of AU PSO. Adopting and implementing the highest standards of these international legal and normative frameworks into AU PSO is thus crucial for implementing the principle of ‘non-indifference’ and for effective protection of all groups of people in an area of operation. This is also critical for enhancing legitimacy and credibility as well as improving and solidifying partnerships.

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44 check PSC Communique adopted at its 326th and 775th meetings held on 22 June 2012 and 22nd May 2018 respectively
46 The Report on Predictable and Sustainable Financing for Peace in Africa, endorsed by the AU Assembly decision [Assembly/AU/Dec.605 (XXVII)], adopted at its 27th Ordinary Session, held in Kigali in July 2016, set out steps to be taken by the AU to develop its own Human Rights and Conduct and Discipline Compliance Framework and put in place appropriate mechanisms in terms of preventing, monitoring and responding to violations and abuses of human rights law, IHL and conduct and discipline. Moreover, in the recent UN Security Council Resolution of November 2016 (S/RES/2320 (2016)), the Security Council “encourages the AU to finalize its human rights and Conduct and Discipline Compliance frameworks for AU peace support operations, to achieve greater accountability, transparency, and compliance with international human rights law and international humanitarian law, as applicable, and with UN conduct and discipline standards (...”). Prevention and response to cases of sexual exploitation and abuse (SEA) form an integral part of these efforts.
in PSOs, particularly with the UN. In this regard, integration of compliance and accountability considerations must be prioritised and mainstreamed at all stages and levels of a PSO to contribute to mission effectiveness and success.
Chapter 4: Stakeholders in AU PSO

Introduction

57. The AU and RECs/RMs have demonstrated the value of regional or sub regional actors taking the lead in responding to conflict through the deployment of PSO. However, the AU notes that it will not be the only stakeholder in a PSO environment. AU PSO are thus deployed within the context of a larger international peace and security effort and are expected to coordinate with and participate in international coordination platforms. In this regard, AU PSO is expected to work closely with these relevant international, regional stakeholders as well as with the host state, national and local institutions and civil society. As a result, and whilst the degree of involvement of various stakeholders is dependent on the nature and context of a conflict, consultation and coordination with relevant stakeholders is essential. This will ensure coordination and cooperation throughout the duration of an AU PSO.

58. The decision to deploy an AU PSO shall thus take into consideration comparative advantages, complementarity and partnership with relevant stakeholders. This approach is in line with the need for collective measures for the prevention and removal of threats to peace. It also enhances international cooperation to ensure effective partnership in the promotion and maintenance of peace, security and stability on the continent and the world at large. Thus, partnership in PSO is an essential approach for the AU, but also the UN.

59. Whilst the UNSC have the primary responsibility for the maintenance of international peace and security, the AU has the responsibility for the maintenance of peace and security on the African continent. The AU shall thus lead on a variety of peace and security initiatives on the continent in collaboration and coordination with the UN, the European Union (EU) and other relevant partners. This shall be based on the AU and UN strategic partnership, comparative advantages and complementarity, in line with the shared vision of each institution.

60. Key stakeholders in AU PSO may include the following:

African Union

61. The Assembly is the highest policy organ of the AU and is composed of Heads of State and Government of all AU Member States. The Assembly is also the highest decision-making body of the AU including on matters relating to peace and security.

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47 Article 16 and Article 17 of the Protocol Establishing the AU Peace and Security Council highlights the importance of cooperation and partnership between the AU and RECs/RMs and with the UN respectively.
48 The fifth preamble paragraph of the PSC Protocol outlines that: MINDFUL of the UN’s primary responsibility for the maintenance of international peace and security, the role of regional arrangements and the need to forge closer cooperation and partnership between the United Nations, other international organizations and the African Union.
49 Article 1(1) of the UN Charter
50 Article 3(e) of the AU Constructive Act of the AU (2000)
51 UNSCR 2320 (2016); UN High Level Panel on Peace Operations (HIPPO), 2015, p. 13-14
In matters relating to peace and security, the AU Assembly has delegated it powers to the AU PSC to decide on how to respond to conflict situations on the continent.\textsuperscript{52}

62. **The Peace and Security Council**: Is a standing decision-making organ for the prevention, management and resolution of conflict to ensure peace, security and stability in Africa. In this regard, the PSC is the mandating authority for AU PSO and is the main pillar of APSA in its efforts to ensure timely and efficient prevention and response to conflict situation on the continent. It also authorises, endorses, recognises PSO undertaken by other entities.

63. **The AU Commission** is the secretariat of the Union. It is, in respect of AU mandated PSO responsible for planning, deploying, launching, monitoring, managing, sustaining and liquidating. It also provides support to AU PSO authorized, endorsed or recognised by the PSC or appropriate AU policy organs.

**Regional Economic Communities and Regional Mechanisms**

64. The RECs/RMs are the building blocks of the African Peace and Security Architecture and the Union, has the responsibility for promoting peace, security and stability in Africa. In this respect, the AU PSC and the Chairperson of the Commission, shall:

   a. harmonize and coordinate the activities of Regional Mechanisms in the field of peace, security and stability to ensure that these activities are consistent with the objectives and principles of the Union;

   b. work closely with RECs/RMs, to ensure effective partnership between them and the AU PSC in the promotion and maintenance of peace, security and stability. The modalities of such partnership shall be determined by comparative advantage and the prevailing circumstances.\textsuperscript{53}

**The United Nations**

65. The UN Charter states that the UN Security Council has the primary responsibility for the maintenance of international peace and security as spelt out in Chapter V, Article 24, of the UN Charter (1948). Chapter VIII, Article 53(1) of the UN Charter also outlines that the UN Security Council shall, where appropriate, utilize regional arrangements or agencies for enforcement action under its authority.\textsuperscript{54} In this regard, the AU and UN have prioritized the development of a systematic, predictable and strategic partnership, based on mutual respect, shared values, comparative advantages and complementarity.

\textsuperscript{52} Article 9(2) of the AU Constitutive Act indicates that the Assembly may delegate any of its powers and functions to any organ of the Union.

\textsuperscript{53} Article 16 of the Protocol Establishing the Peace and Security Council (2002)

\textsuperscript{54} Chapter 8, Article 53(1) of the UN Charter (2000)
66. Ensuring a systematic, predictable and strategic partnership between the AU and the UN is based on the fact that no single entity or organisation can undertake PSO alone effectively and successfully. As a result, regular exchange of information, coordination, cooperation and effective partnership between the AU PSC and the UN Security Council is essential throughout the duration of all AU PSO. Partnership between the AU and the UN should be based on the strategic vision and objectives as well as common goal of both institutions.

**Host Nation(s)**

67. Host Nation(s) are those states in whose territory an AU PSO shall be deployed. This may be one or more host nation(s) depending on the scope and nature of the conflict and the mandate of the AU PSO. Host nation(s) are essentially the entities recognised by the AU, as the legitimate government and associated state apparatus. It is necessary that the host nation(s) consents to a PSO deploying on its territory. This will not however always be the case as there may be instances where the AU will mandate a PSO without consent, pursuant to Article 4(h) of the AU Constitutive Act (2002).

**Other Partners**

68. Other partners also play vital roles in the success of PSOs. They include the European Union, North Atlantic Treaty Organisation (NATO) and other non-African states that have played important roles in support of AU PSO. Coordinated and needs-based technical and financial assistance from these stakeholders will remain valuable in support of AU PSO. These stakeholders provide essential funding but also crucial logistical support and training packages to AU PSO. This comes in a range of training activities such as contingent pre-deployment training, mission headquarter training, police training and support to regional training centres affiliated to the AU. The International Committee of the Red Cross (ICRC) notably provides support with respect to IHL training, and engagement with the ICRC is of particular importance given the organisation’s specific mandate and operational experience in situations of armed conflict. Other relevant partners can also enhance the legitimacy and credibility of AU PSO.

**Non-state Armed Group(s)**

69. Non-state armed group(s) is a broad category that can apply to a range of different stakeholders. Such stakeholders can be affiliated, aligned or opposed to a state. In this regard, reference is made to rebel movements, militias, local/village defence groups, terrorist or violent extremist groups and criminal gangs. This excludes private security organisations that possess arms under licence and operate within a state legitimately.

**Population(s)**

70. Population(s) refers to all non-combatant inhabitants in an area of operations. This is inclusive of citizens, permanent and temporary residents, Internally Displaced Persons (IDPs) and refugees who are present within the area of operations. Population(s) are
diverse, with a number of cleavages that includes urban/rural divide, vulnerability, identity and inter-communal tensions and class issues.

Women, Youth and Children

Women

71. The Protocol to the African Charter on Human and Peoples Rights on the Rights of Women in Africa (2003)\textsuperscript{55}, and the AU Heads of State and Government Solemn Declaration on Gender Equality in Africa\textsuperscript{56}, commits African Governments and civil society, amongst others, to protect and respect the rights of women in situations of armed conflict. In addition, the UN Security Council Resolution 1325 on Women, Peace, and Security (2000) spells out the need for integrating a gender perspective, and ensuring women’s participation in all decision-making processes throughout all stages of armed conflict and recovery.\textsuperscript{57} The AU instruments and this UN Resolution call for the inclusion of women and gender perspectives at all levels, and in all areas of conflict prevention, conflict resolution, peacekeeping, and peacebuilding.

72. The African Union recognises the gendered nature of conflicts, conflict management and post conflict reconstruction and development. The consideration of gender perspectives is essential - especially in relation to the gendered impact of conflicts on men and women, boys and girls as well as the aged the specific needs of the different categories of persons (women, youth, children, vulnerable) and ways through which they are able to contribute to the resolution of conflicts and build resilience. As a result, gender and considerations of women must be mainstreamed in all stages of AU PSOs.

Youth

73. The AU Constitutive Act, and Article 20 of the Protocol Relating to the Establishment of the Peace and Security Council of the AU, as well as aspirations 4 and 6 of Agenda 2063 reiterate the goal of a peaceful and secure Africa and an Africa whose development is people driven and reliant on the potential offered by people, especially its women and youth. The African Youth Charter adopted by the 7th Ordinary Session of the Assembly held in Banjul, The Gambia on 2 July 2006, particularly Article 17, also recognizes the important role of youth in promoting peace and security in Africa. As a result, mainstreaming the issues of youth, including their participation and contribution is critical in ensuring a peaceful and stable Africa towards achieving the goal of regional integration.

Children

74. The AU notes that children make up a sizeable majority of the population in conflict affected countries in Africa and that children face serious abuses and violations of

\textsuperscript{56} Solemn Declaration on Gender Equality in Africa
\textsuperscript{57} UNSCR 1325
their rights or international humanitarian law protecting them in the context of armed conflict. The AU is also aware that annually, thousands of boys and girls are killed or maimed, recruited/abducted and used by parties to conflict, are victims of sexual violence and also denied access to humanitarian assistance. In this regard, requisite suit of decisions, including AU Assembly decision Assembly/AU/Dec.718 (XXXII) adopted by the 32nd Ordinary Session of the Union held from 10 to 11 February 2019 in Addis Ababa, Ethiopia, reiterates the need to strengthen the existing AU and RECs/RMs mechanisms on child protection. In this regard, AU PSO must continuously take the necessary steps to protect children in the implementation of their mandates with a view to ensure full compliance with IHL, in particular to ensure that schools are not attacked and used for military purposes. Additionally, AU PSO are expected to guarantee the social and cultural rights of children refugees or IDPs, according to the African Charter on the Rights and Welfare of the Child.

Private Sector/CSOs/NGOs & Local and International Media

75. The AU PSO shall coordinate, collaborate and cooperate with the Private Sector as well as traditional structures, local and international Non-Governmental and Civil Society Organisations (NGO/CSO), in the area of operation, throughout the duration of an AU PSO. Local and international media are also part of this category and are always present in PSO environments and report on the conflict, including the actions of a PSO on a daily basis.
Chapter 5: Critical Mission Success Factors

Introduction

76. The factors identified below are essential for the success of AU PSO and are applicable to all components and all stages of AU PSO. These factors should be employed in support of, and complimentary to, the AU PSO principles outlined in Chapter three (3).

Understanding of the Context

77. It is essential that AU PSO are grounded in the context of the conflict they are deployed to address. Operations and the personnel that constitute them must understand the causes and dynamics of the specific conflicts they are deployed to manage. Operations that are not tailored to or informed by local dynamics are unlikely to be effective.

Matching Resources to Mandate

78. Appropriate and adequate capacities and capabilities should be provided and availed by the AU and its Member States to guarantee effective and successful implementation of AU PSO mandates issued by the AU PSC and/or the AU Assembly. Partners may also assist in this regard and the AU should ensure that capacities and capabilities are determined by and linked to the mandate to enable AU PSO to achieve its desired end state. In addition, the need for skilled and trained personnel in PSO requires investment in the development of their capacities.

Financing

79. AU PSO should be adequately resourced and sufficiently financed. This is a fundamental prerequisite for effectiveness and successful achievement of the mandate. The financing of AU mandated PSO is the responsibility of the AU. Funding of AU PSO shall also be sourced from other AU partners. The AU AU force Common Cost AU PSO (2018)\(^{58}\) indicates the areas for the financing of AU mandated PSO.

80. Financial and/or other support provided by the AU to PSO that it authorises, endorses or recognises, shall be determined on a case by case basis.

Force/Capabilities

81. Force/capability generation by the AU AU for its mandated PSO shall prioritise the ASF as a timely, predictable and reliable African standby arrangement through which the AU generates uniformed and civilian personnel.

82. If all the required personnel and equipment cannot be generated through the RECs/RMs using the ASF mechanism, the AU may enter into direct arrangements with AU Member States who can provide the required capabilities.

\(^{58}\) The AU Common Cost Document for AU PSO was approved by the 10th Meeting of the Specialised Technical Committee on Defence Safety and Security (STCDSS) held in January 2018 in Addis Ababa, Ethiopia
83. The AU shall, in deploying an operation, consider the concept of a Lead Nation approach wherein an AU Member State with required capabilities and can provide operational lead in coordinating the planning, deployment, and execution of AU PSO\textsuperscript{59}. It can also be in the form of a coalition wherein a group of two or more AU Member States agree to work together to achieve a common specific goal, as may be guided by the PSO mandate.

Training

84. This Doctrine shall form the basis for the training of all AU PSO personnel (military, police and civilian components). It shall also inform the issuance of strategic training directives, policies, standards and guidelines by the AU.

85. Personnel must be well prepared for positions they fill and is applicable across all components. Training on core PSO activities and concepts as well as relevant legal obligations, AU policies, standards, and guidelines should also be part of all pre-deployment training. Training must therefore target enhancing skills and knowledge about how to do a specific role in a specific mission as well more general learning on PSO activities. Understanding, interpreting and translating mandates into tasks and functional activities as well as a detailed understanding of mission specific regulatory frameworks such as Concept of Operations (CONOPS) must also be mandatory in any training for relevant personnel at appropriate levels. Pre-deployment should be augmented throughout the tenure of PSO personnel through in-mission training where possible.

86. The responsibility for the conduct of training lies at different levels, with the AU, RECs/RMs and Member States having different responsibilities. In this regard, the AU shall provide strategic guidance for training, the RECs/RMs shall provide operational guidance and training, whilst the Member States shall provide tactical level training. All training for AU PSO must reflect the concepts, principles and approaches outlined in this strategic doctrine.

87. In addition to the three levels of responsibilities, AU PSO shall facilitate additional training (in the mission area) to enhance the capacity of AU PSO personnel including with support from Training Centres of Excellence (TCEs), other relevant training, research and academic institutions.

Flexibility & Adaptability

88. AU PSO must be flexible and its mission planning and execution of tasks should be adaptable to the context where deployed. A conflict is not static and can change and shift at all times during its lifespan and that of a PSO deployment. Operations must therefore be able to react and respond accordingly and effectively to changing conflict dynamics when they occur. It is critical to monitor and evaluate monitoring and evaluation of both the conflict and of the responses and strategies.

\textsuperscript{59} ASF Policy Framework, page 17
Coordination, Collaboration and Unity of Effort

89. AU PSO is multidimensional in tasks and participation and involves a multiplicity of actors who engage on a variety of issues. Inter-departmental cooperation at Strategic Headquarters and cooperation amongst all participating elements is essential to achieve the strategic objectives and political end-state specified in the mandate.60

Coordination

90. The multidimensional and multifunctional nature of AU PSO means that the Strategic Headquarters may have multiple, concurrent and sequential engagement and lines of activity in the operation. When the Strategic Headquarters has more than one line of engagement and activity, there should be interdepartmental coordination at the Strategic Headquarters and in the field in order to ensure AU system-wide coherent approach towards the realisation of the common objective. In relevant instances, there must also be coordination between AU PSO and regional efforts within the same operation.

Collaboration

91. AU PSO may involve various actors including the United Nations, international humanitarian agencies, multilateral development agencies and bilateral partners. Collaborating with the various actors in a AU PSO offers an opportunity for the AU to provide strategic guidance to leverage resources, enhance complementarity and minimize competition.

Unity of effort

92. Unity of effort amongst components is essential for mission success. Military, civilian and police components must therefore be aware of each other’s roles, responsibilities and strategies as well as combining each other’s expertise where relevant and required. AU PSO activities and tasks require integrated planning and working. It is critical for components to be aware of all tasks and activities being carried out in the operation, including those that are predominately performed by one component.

60 See ASF Doctrine (2003)
VI. Conclusion

This Doctrine is one of the contributions to promote the goal to silence the guns in Africa and a manifestation of recent and ongoing PSO experiences of the AU. It also represents one of AU’s approaches to facilitate collective security, including through close collaboration with other relevant stakeholders in addressing security challenges in Africa. It is not exhaustive due to the fluid and dynamic nature of Africa's security environment. Efforts will therefore be made to ensure periodic review and update in accordance with directive by relevant AU decision making organs and within the framework of APSA and relevant stakeholders. Such coordination and partnership as well as the provision of required capabilities, resources and funding will ensure effectiveness and achievement of AU PSO mandates.