



African Union Peace and Security Department

Standard operating
procedures for
mediation support

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Acknowledgements

These Standard Operating Procedures (SOPs) for mediation support have been developed by the African Union (AU) and the Centre for Humanitarian Dialogue (HD Centre). They form part of a project which seeks to support the strengthening of the AU's mediation capacity. The SOPs will be used by the AU Commission and field staff to improve support to the AU's political missions and mediation processes. The SOPs are based on extensive interviews with AU Special Envoys, Special Representatives and Head of Liaison Offices, as well as consultations with Desk Officers and staff from the Peace and Security Department.

The HD Centre is an independent mediation organisation, based in Geneva, Switzerland, dedicated to improving the global response to armed conflict. It attempts to achieve this by mediating between warring parties and providing support to the broader mediation community. The HD Centre is driven by humanitarian values and its ultimate goal is to reduce the consequences of violent conflict, improve security, and ultimately contribute to the peaceful resolution of conflict.

The SOPs have been developed by the HD Centre's Mediation Support Programme. The Programme's main objective is to strengthen the practice of mediation globally while also supporting the HD Centre's own mediation work. It seeks, in particular, to assist regional organisations and mediators in strengthening their capacity by developing practical tools, training and other material

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Foreword

Conflicts in Africa continue to constrain development and threaten the lives and livelihoods of millions of people. The complex nature and increasing incidence of conflict has required regional organisations to engage in conflict prevention, management and resolution. The African Union Commission routinely works to open paths of dialogue among conflict parties; devise confidence-building measures; mediate once conflicts have broken out; and assist in the implementation of peace agreements.

Mediation is deeply rooted in Africa's culture and traditional best practices. Nowadays African mediators need to take such a rich heritage as a powerful source of inspiration. Modern procedures and techniques will only add efficiency and credibility to the AU's endeavours in the area of mediation.

As the AU Commission is making progress with the establishment of a more systematic mediation approach, it is becoming evident that the following pillars must also be developed: substantial support including clear decision-making and coordination structures; administrative and funding mechanisms; access to expert networks; well-trained staff; well-briefed mediation teams; and reference material to be used by mediation teams.

In recognition of this emerging need, the AU Peace and Security Department has developed, with the assistance of the Centre for Humanitarian Dialogue (HD Centre), a set of Standard Operating Procedures (SOPs) for Mediation Support to guide AU processes of preparing and supporting peace processes. It should be recalled that this project built upon the AU seminar 'Towards a More Strategic Approach in Enhancing the AU Mediation Capacity', held in October 2009, which produced the 'Plan of Action to Build the AU's Mediation Capacity'.

I am very happy that after two years of consultations and extensive interviews with AU Special Envoys, Special Representatives and Heads of Liaison Offices, PSD staff and Desk Officers, the SOPs are ready for implementation. They provide specific guidance for the Peace and Security Department on how to manage political engagements and mediation processes in the continent. I encourage all AU staff to pay special attention to these procedures and I am confident that they will contribute positively to our work.

The SOPs should be seen as a living document, which will be updated on a yearly basis to ensure that it remains relevant to the needs and demands of our work.

Ambassador Ramtane Lamamra, Commissioner for Peace and Security of the African Union

I. Introduction

The July 2000 Constitutive Act of the African Union (AU) specifies the principles upon which the AU is based (Article 4). One of these, Article 4(e), provides for the “peaceful resolution of conflicts among Member States of the Union through such appropriate means as may be decided upon by the Assembly.” This principle is expanded and institutionalised by the 2002 “Protocol Relating to the Establishment of the Peace and Security Council of the African Union,” in which the objectives outlined in Article 3 include anticipation and prevention of conflict as well as peacemaking, peacebuilding, and post-conflict reconstruction. One of the means commonly adopted to pursue these objectives is for the Chairperson of the AU Commission to deploy a Special Envoy or Special Representative to a site of potential or current violence, for the purpose of mediating between/among the parties in conflict.

Since the inception of the OAU (Organization of African Unity) in 1963, many such Envoys and Special Representatives have worked diligently on these assignments, primarily in an ad hoc manner. The AU now recognises the need to build upon these experiences and create a more systematic approach to AU mediation, to enable Envoys/Representatives and those who support their efforts to function at the highest and most effective levels.

The AU also recognises the important partnership developed with the Regional Economic Communities (RECs) in the Memorandum of Understanding signed in 2008 on Peace and Security Cooperation, and recognises the RECs as crucial pillars in planning and implementing its mediation processes.

Therefore, these Standard Operating Procedures (SOPs) are the next step in a review and update of AU mediation begun in 2009, and build upon the “Plan of Action to Build the AU’s Mediation Capacity” (referred to hereafter as the Action Plan) submitted in November 2009 and agreed to by the Conflict Management Division and the Commissioner for Peace and Security.

These SOPs provide specific direction to AU mediators and support staff on how to implement the Action Plan, indicating the optimal actions to be taken as resources permit, and a minimum to be implemented as soon as possible.

II. Building on the 2009 Action Plan

As specified in the Action Plan, “Mediation can be defined as a process of dialogue and negotiation in which a third party assists two or more disputant parties, with their consent, to prevent, manage or resolve a conflict without resort to force. The general goal of mediation is to enable parties in conflict to reach agreements they find satisfactory and are willing to implement. The specific goals depend on the nature of the conflict and the expectations of the parties and the mediator. The UN, the AU and the sub-regional organisations in Africa, commonly referred to as regional economic communities (RECs), often mediate in situations where a primary goal is to prevent or end violence. In order to ensure long-term peace and stability in these circumstances, mediation should also have the aim of addressing the root causes of the conflict.”¹ The Action Plan goes on to specify the following:

- Motivation for building the AU's mediation capacity (Section 3);
- The AU's mandate to mediate (Section 4);
- A strategic approach to AU mediation (Section 5);
- Mediation relations between the AU, UN, and RECs (Section 6);
- Mediation plans (Section 7);
- Establishing a Mediation Unit in the Commission (Section 8);
- Appointing a mediation advisor in the Secretariat of the Panel of the Wise (Section 9);
- Appointing mediators in the AU Liaison Offices (Section 10);
- Establishing rosters (Section 11);
- Supporting Envoys and mediators in the field (Section 12);
- Review and evaluation (Section 13)
- Research and analysis (Section 14)
- Skills enhancement (Section 15)

¹ Nathan, L. “Plan of Action to Build the AU's Mediation Capacity.” Commissioned by the UN Department of Political Affairs. November 6, 2009. Section 2.

- NGO support (Section 16)
- Funding (Section 17)

In this present document, the Standard Operating Procedures (SOPs) provide templates for implementation of many of the steps listed above. Where indicated, the SOPs also expand upon the Action Plan recommendations and incorporate updated feedback from AU mediators, Desk Officers and other staff from the Peace and Security Department/Conflict Management Division (PSD/CMD), and international mediation experts. It is important to note that mediation conducted by the AU can occur in at least four different ways:

- Good offices role of the Chairperson of the Commission or the Commissioner for Peace and Security;
- Appointment of a Special Envoy in crises situations or when preventive diplomacy requires a high level intervention;
- Appointment of a Special Representative, to head an AU Liaison Office and run a complex country mission; or
- Ongoing management of a conflict by the Head of a Liaison Office.

The SOPs are primarily focused on situations in which Special Envoys or Special Representatives are appointed; however, they are easily adapted to the other two types of mediation as needed.

III. Appointing and hiring process for lead mediator

Initial assessment: Decision to deploy a mediator

Optimal actions:

- When alerted by a Member State, an AU official, or a REC that a major inter- or intra-state crisis is breaking out or appears imminent, the Chairperson of the AU Commission (hereafter “Chairperson”) and the Commissioner for Peace and Security (hereafter “Commissioner”) should immediately assess the risk of escalation, conferring with the relevant REC for a situation assessment. If more information is needed, and with approval of the state(s) where the conflict is/may erupt, the Chairperson should deploy a fact-finding mission in order to conduct an analysis of the situation and possibly to play a discreet “good offices” role. These initial crucial steps will help the Chairperson and the Commissioner assess the potential for mediation and decide whether to appoint a Special Envoy/ Representative.
- If a fact-finding mission is sent, it should be composed of AU officials with knowledge of the state(s) involved in conflict, representatives of the relevant REC, as well as a specialist in conflict analysis from within the AU or hired as a consultant for this purpose. Please see Annex A for a conflict analysis template to be used by the fact-finding mission.
- In addition, the Chairperson and Commissioner should remain alert to the possibilities of using mediators for “early action,” before violence erupts. The *Workshop on Lessons Learned from the Somalia and Guinea Bissau Mediation Processes* identified the importance of Desk Officers from the AU, the UN, and the RECs being in regular communication to identify opportunities for preventing an escalation to violence.² Early prevention seeks to improve the relationship of parties or states that

² African Union and United Nations. (2009) “Workshop on Lessons Learned from the Somalia and Guinea Bissau Mediation Processes: Joint AU-UN Cooperation.” 19-20 August 2009, Nairobi. Workshop Report.

are not actively fighting but deeply estranged. Left unaddressed, such latent animosities might result in a return to the use of force as soon as a crisis arises.³

- If deemed appropriate based on the results of the fact-finding mission and/or other initial conflict assessments, the Chairperson will initiate the appointment of a mediator for conflict prevention, conflict management, or peacebuilding.
- The appointment of a mediator may be coordinated with the UN or REC. For now, please refer to the Action Plan, Section 6, for details on such coordination.⁴

Minimum actions:

- When alerted by a Member State, an AU official, or a REC of a possible conflict escalation, the Chairperson and Commissioner will assess the situation with the help of AU staff, the REC and/or external experts, and will make a decision as to whether to deploy a Special Envoy or Representative.

Mediation roster (Required)⁵

- The AU CMD will develop a roster of potential mediators, who will have been vetted for all of the criteria listed in Annex B. The roster should include senior-level women as well as men. This roster will be reviewed at frequent intervals to be sure it is current.⁶
- The Chairperson and Commissioner will consider those listed on the roster in making their selection of lead mediator.
- Please refer to the Action Plan, Section 11, for a more extensive discussion of the mediation roster.

Mandate and contract with mediator (Required)

³ Peck, Connie. (1998) Sustainable Peace: The Role of the UN and Regional Organizations in Preventing Conflict. Lanham, MD: Rowman and Littlefield.

⁴ This will be further elaborated in future coordination guidelines between the AU and the UN.

⁵ A set of Guidelines are being developed by CMD for the development and maintenance of a roster of mediators.

⁶ As of December 2011, the Guidance for the development and maintenance of a Mediation Roster is being drafted.

- The Chairperson and Commissioner will discuss the mandate and terms of reference (ToR) with the newly appointed mediator. This should be a face-to-face meeting so that the Chairperson, the Commissioner, and the mediator can fully discuss their respective concerns and clarify expectations.
- The Head of CMD should be present at this meeting, so that all AU officials are clear on the mandate and ToR for the mediator.
- CMD will assign a Desk Officer (DO) to be the initial HQ support person for the mediator until the mediation team is constructed. The DO should have knowledge of the country and/or region where the conflict is occurring, or the ability to reach out to others if this is not the case. He/she should ideally be fluent in the primary diplomatic language of that country.
- The DO will draw up an initial draft of the contract for the mediator, in coordination with the relevant administrative officials, with all terms of reference clearly indicated (see Annex C for suggested template). This includes:
 - a. Mandate;
 - b. Length of appointment;
 - c. Salary and benefits;
 - d. Staffing and admin support;
 - e. Budget allocation, travel and DSA rates;
 - f. Reporting requirements.
- The contract will be reviewed and approved by the Chairperson and the Commissioner.
- The DO will arrange the initial briefing for the mediator at AU HQ, plus make all travel arrangements for the mediator's initial trip to the conflict area.

IV. Creating an AU mediation team

In the complex political environments in which AU mediators operate, it is essential that they have a team to support their efforts and help them carry out their various tasks effectively. The first challenge, therefore, is structuring the mediation team.

Expertise and capacity

The mediation team, as a whole, should cover the following areas of expertise and capacity:⁷

- Negotiation analysis and mediation expertise are needed to identify issues, interests, and non-agreement alternatives for all of the parties to the conflict; plan and run the process of dialogue and negotiation; provide advice to the parties' leaders and negotiators and encourage a cooperative stance by neighbouring states and other external actors; explore non-official, Track 2 processes to augment official discussions and consult with civil society groups to develop broad input into the negotiation process.
- Country and regional expertise is needed to ensure a deep understanding of the parties and their factions and internal debates, the cultural practices of local communities, the key groups in civil society, and the history and dynamics of the conflict.
- Analytical expertise is needed to discern and interpret changing conditions on the ground, shifts in the parties' positions and changes in the relationships between various actors.
- Writing skills are required for drafting reports and agreements.
- Communications expertise is needed to communicate with the parties' constituencies, the public at large in the conflict zone, Member States and other actors. This includes expertise in working with the media and in public outreach.
- Management, administrative and financial expertise is needed to ensure that

⁷ Adapted from the Action Plan, Section 12.1.

the mediation process is run efficiently, that proper records are maintained, and that personnel, funds and other resources are managed soundly.

- Gender diversity is essential in the team make-up, to comply with UNSC Resolution 1325 and to signal the AU's commitment to gender equity in every conflict prevention, management, or resolution process.

Core team members

The Action Plan recommends the setting up of a Mediation Unit within the Commission, to “be responsible for providing and coordinating mediation support to AU officials and Envoys and for undertaking and coordinating mediation capacity-building activities.”⁸ The Unit will be run by a mediation coordinator and staffed by mediation experts and a senior administrator.

In addition to the mediation coordinator, the core of an AU mediation team should include the members outlined below, whose qualifications and preliminary job descriptions are attached as Annex B.

Optimal actions:

- Lead mediator, to be deployed full time for a duration agreed upon at the time of appointment.

The lead mediator can be one of the following appointees:⁹

- a. Special Envoy – appointed by the Chairperson of the AU Commission to conduct a conflict prevention or resolution process for a designated period of time, and not residing in the conflict area.
 - b. Special Representative – may also play a mediating role, and will do so as part of the responsibilities as the resident Head of an AU peacebuilding/peacekeeping mission.
- Senior Analyst, to be deployed full-time. The Senior Analyst will act as the primary political advisor to the lead mediator, and will be the mediator's “alter ego” during the process (and when the mediator is not in-country). This position requires a person with both regional and mediation expertise.

⁸ Action Plan (2009), Section 8.

⁹ In some circumstances, the head of the AU Liaison Office in the conflict region may play a mediating role.

Under optimal staffing, the Senior Analyst is a full-time appointment for the duration of the mediation process. He/she may be recruited from outside the AU and/or seconded from other IGOs, donor countries, or qualified NGOs. In this staffing configuration, the Senior Analyst receives substantive back-up from the DO or Liaison Officer (LO) assigned to the region.

- Chief of Staff (CoS), to be deployed full time when the mediation process involves many parties and is of high priority for the AU. The CoS does not mediate, but is responsible for administrative coordination of the mediation effort. The Chief of Staff may be recruited from outside the AU and/or seconded from other IGOs, donor countries, or qualified NGOs.
- Mediation process expert, to be deployed 25-50% of the time.
 - a. The mediation process expert will be available for consultation with the lead mediator and the Senior Analyst throughout the mediation process.
 - b. The mediation expert should have demonstrated skills in negotiation and mediation analysis, the development of a mediation strategy, and dialogue facilitation.
- Technical experts, to be available on an ad hoc, part-time basis.

This includes experts in elements of peace agreements and peace-building processes including: international law, legal drafting, DDR/SSR, economic development, power sharing, constitution drafting, public participation, transitional justice, land reform, refugee issues, property claims, communication/public relations, etc.

Minimum actions:

- Lead mediator, as above.
- Senior Analyst, as above, 50% of the time. An existing DO or LO with the required analytic and regional expertise may fill this position.
- Administrative support, 50% of the time.
 - a. To make travel arrangements and keep an up-to-date file of documents and reports on behalf of the team.

- b. Can be provided by a clerical staff person at AU headquarters or in the Liaison Office. This clerical support should not be required of the DO/LO if they are providing substantive analytic support.
- Technical experts, as above.

Additional resource persons

In addition to the core members, a mediation team may also draw upon:

- Continental Early Warning System (CEWS) – Data on early warning collected both at AU Headquarters and by the RECs is monitored by the Situation Room in Addis, the staff of which can be called upon as needed to provide such data to the mediation team.
- An International Contact Group (“Contact group”) – International actors (e.g. RECs, neighbouring states, states with political/military/economic leverage, intergovernmental organisations, international financial organisations) who have interests in the conflict and are called upon to advise and lend their resources to the mediation effort.
- A Panel of the Wise (“PoW”) – Eminent African individuals who have agreed to “advise the Peace and Security Council and the Chairperson of the Commission on all issues pertaining to the promotion, and maintenance of peace, security and stability in Africa.”¹⁰
- The Panel of the Wise may be able to open political channels, meet with state leaders, and/or use their influence to assist the lead mediator. They may also provide good counsel on mediation strategy, based on their own experiences.

Additional requirements for staffing of the mediation team

- The lead mediator should be able to choose key members of his/her team and/or review the appointments made by the AU on his/her behalf. Rosters of experts will be made available to assist in these staffing decisions.

¹⁰ Peace and Security Protocol, Article 11(3).

- The lead mediator reports directly to the Chairperson through the Commissioner for Peace and Security.
- All other mediation team members report to the lead mediator.
- Appointments for the mediation team members should follow an expedited hiring process as soon as possible after the lead mediator takes his/her first trip to the conflict region to allow their immediate deployment.
- Efforts should be made to recruit women to be part of the professional staff of mediation teams.
- Under both optimal and minimum staffing, the DO should assist the lead mediator and his/her team members to communicate directly and swiftly with the Chairperson and the Commissioner, and to be sure that the mediator receives responses to his/her enquiries as quickly as possible.
- All mediation team members should be reliable and able to maintain the confidentiality of documents, discussions, information, etc. throughout the mediation process.
- If the AU is partnering with the UN on a mediation effort, the two organisations together may hire a CoS to reside in-country to support the overall effort.
- Technical experts should be made available in a timely fashion, whenever the lead mediator requires their assistance. A roster of individuals should be maintained, who are available on a stand-by basis for immediate deployment. Such individuals may be seconded from other IGOs, donor countries, or qualified NGOs. The roster should be compiled and maintained by CMD.
- The mediator should also be alert to the need to have resource people who can communicate and build trust with specific constituencies in the conflict zone, such as religious groups, women and young people. These resource people may be recruited locally or internationally.

- Skills enhancement should be provided for all current AU staff who are assigned administrative or professional responsibilities in mediation efforts. Such enhancement should include: best practice and definition of mediation; conflict dynamics and assessment; strategic and operational planning; and monitoring and evaluation. See Annex D for recommendations for AU mediation skills enhancement.

V. Pre-deployment briefing for the mediator

(must be completed before mediator begins his/her mediation work)

- The designated DO will assemble a briefing binder for the mediator before his/her arrival at AU HQ for the initial briefing meetings (see Annex D for the full contents of the briefing binder).¹¹ This requires the DO to prepare an extensive set of materials, including the following:
 - a. An overview of the conflict (e.g. country profile and brief history, conflict analysis, the actors and the issues disputed, previous ceasefire and peace agreements, etc.) (See Annex A for the conflict analysis template);
 - b. The history of AU involvement;
 - c. The challenges facing the process;
 - d. Contact information of key actors and previous staff;
 - e. The AU mandate and the terms of reference of the mediator;
 - f. Key mission policy and organisational documents;
 - g. Resources available to the mediator and the team.

¹¹ Adapted from "UN Checklist of Materials." Available from UN Mediation Support Unit, New York.

- The DO should consult with the CMD Head, the Situation Room and with outside experts if necessary to complete these documents. Information gathered by any initial fact-finding mission should also be included.
- The Head of CMD, with the assistance of the DO, will arrange a briefing at AU HQ for the mediator before his/her deployment to the conflict area. This will include individual meetings with the Commissioner, Director of the PSD and the Head of CMD as well as Heads of Divisions within the department as needed to review the ToR and funding available to the mediator for his/her mission, and to review and sign the contract. In addition, the AU officials will discuss how they will support the mediator during the mediation process, through their political contacts and by offering advice based on their knowledge and experience.
- The mediator will meet with the PSD financial office to review budgetary oversight and reporting requirements, and to sign any necessary forms.
- The mediator will meet with the DO, other AU staff (from PSD or CMD) familiar with the conflict region, and any outside experts with significant experience in the country/region in conflict. Previous AU Envoys may also be included, to share their experience and any advice on developing strategic or operational plans.
- If the mediator is a Special Envoy, and an AU Liaison Office is already operating in the conflict area, the respective Special Representative or Head of Liaison Office must also attend the briefing at AU HQ, to be sure there is no confusion about roles and responsibilities among the various AU staff deployed in the conflict area.
- The DO should arrange for the mediator to meet with his/her counterparts from the UN and/or RECs if these organisations are also involved in the conflict. This meeting will most likely take place once the mediator has arrived in-country.

VI. Designing the mediation strategy

- The **mediation strategy** is the overarching plan of action to be developed by the lead mediator and the Senior Analyst. As explained in the Action Plan:

“The strategic plan will be based on political judgements and choices. It should indicate the mediator’s mandate, provide overall direction and focus, contain clearly formulated goals, objectives and strategies, identify key partners and allies and outline the approach to addressing the principal challenges and risks. The plan should take account of all the main actors. In the case of a civil war, for example, it should include specific objectives and strategies in relation to the government (and elements within the government), each of the rebel movements, important civil society bodies, neighbouring states, the UN, the relevant REC and foreign powers with an interest in the conflict.”¹²

The African Union has laid out a template for a strategic plan, which includes the following:¹³

- a. Brief situation assessment:
 - Assessing “ripeness”;
- b. Basis for African Union action:
 - Previous AU engagement;
 - Rationale for use of AU mediation at this juncture;
- c. Goal(s) of the mediation process:
 - Is settlement viable?
 - If not, what is a reasonable goal?

¹² Action Plan, Section 7.

¹³ Adapted from the African Union Mandating Process for Peace Support Operations. « Aide Mémoire: The African Union’s Planning and Decision Making Process. » Version 3, 30 October 2009, pages 34; 41-42.

- d. Key mission objectives (i.e., measurable steps to reach the goal).
To include:
 - Overall approach (directive or facilitative);
 - Establishing/maintaining trust of the parties;
 - Identifying and using leverage, including outside parties, donors, etc.;
- e. Mission structure:
 - Staff and roles/responsibilities;
 - Reporting and communication channels;
 - Interface with local government and local civil society;
 - How funds will be used ;
- f. Coordination mechanisms:
 - Partnerships (if any) with other IGOs/Envoys;
 - Coordination plan with the UN;
 - Coordination plan with RECs or other IGOs in the conflict area;
- g. Follow-through/implementation phase:
 - How will the AU ensure that any agreements are implemented?
 - Role of the AU in the process;
- h. Exit strategy:
 - When/how will the AU leave the conflict area?
- i. Evaluation criteria:
 - How to determine progress during the mediation process;
 - How to evaluate success at the end of the mission.

- The **operational plan** “should be a technical document that gives effect to the strategic plan. It must translate the strategic plan into activities and tasks, assign responsibility for action and identify what is required in terms of posts, expertise, logistics, equipment and funds”.¹⁴

The purpose of the operational plan is to translate the strategy into doable steps. This includes:

- Defining concrete steps to be taken;
 - Who on the team is to do each step;
 - Approximate time lines for completing each step;
 - Communication strategies between/among team members and partners;
 - Budgeting and logistical requirements for each step,
 - How/when to update strategy as events unfold; and
 - Keeping the Chair/PSC/CMD up to date.
- The two plans must be **living documents**, i.e., they must be reviewed and adapted on a regular basis in the light of evolving dynamics and the effectiveness of the chosen strategies.¹⁵
 - Developing the strategic and operational plans:
 - Upon review of the briefing binder, the mediator will prepare his/her initial visit to the conflict area, to meet with all of the relevant stakeholders and make his/her preliminary strategic assessment.
 - The mediator will then convene a strategy session with his/her mediation team, in-country, to develop an initial mediation strategy. This meeting should include: the Senior Analyst, the Chief of Staff, the AU Special Representative or Head of Liaison Office if one is in-country, and any outside experts requested by the mediator.
 - The mediator will then submit a confidential strategic plan to the Chairperson or Commissioner. This plan should be reviewed for possible updating every six months, or more often if necessary.

¹⁴ Action Plan, Section 7.

- d. The mediator and mediation team will develop an operational plan and update as needed; the Senior Analyst should be sure that all mediation team members have updated copies as the plan changes.¹⁶ The operational plan remains a confidential document within the mediation team.
- e. If other IGOs, such as the UN or RECs, have mediators also operating in the conflict area, the mediator should develop the strategic plan, when possible, in collaboration with these organisations, to ensure coordination and cooperation.

VII. The use of international contact groups

Please refer to the Action Plan, Section 6.3, for the steps in constructing an international contact group.

VIII. Funding support for mediation

- Funds for a mediation process are provided from the AU Peace Fund.
- The mediator should be apprised of the budget allocated for the mediation process and should have major expenditures approved by the PSD. The mediator will be accountable for maintaining records of funds expended, to be submitted along with the quarterly reports.

¹⁵ Action Plan, Section 7

¹⁶ For devising the operational plan, existing guidelines will be very helpful. One is available from the U.S. Institute of Peace (USIP) and is entitled, “Managing a Mediation Process.” Another is being finalised by UNITAR and the UN MSU, and is entitled, “A Manual for UN Mediators: Advice from UN Representatives and Envoys.” A copy of the USIP manual will be included in the Briefing Binder prepared for the Envoy. The UNITAR manual may also be included, pending UN permission.

IX. Reviewing and evaluating progress made during a mediation process

- The Senior Analyst should be assigned to conduct a quarterly review of both the strategic and operational plans, to assess progress and make recommendations for changes required due to shifting circumstances and conflict dynamics. The assessment will be based on the strategic objectives and operational steps laid out in the plans developed according to sections VI (A) and VI (B) above (see Annex F for template).
- The results of this assessment are discussed with the mediator, who may then convene a team meeting to discuss whether and how changes will be made to the strategy or operational plans. This assessment should remain confidential in order to preserve the integrity of the mediation process.
- Every 4–6 months, depending on the situation, the mediator and team members will provide an in-person briefing at AU HQ, attended by the Commissioner, the DO who is assigned to the case, and any other individuals deemed appropriate by the mediator and CMD. The purpose of this meeting is to provide a more extensive update to HQ and to review strategy and operational plans where AU assistance and support is required.

X. End of assignment debriefing¹⁷

- Prior to the departure from the mission area (or at the conclusion of assignment), the mediator should draft an end of assignment report (EoAR). The purpose of the report is to provide an assessment of how the mandate was carried out and to identify recommendations for improving such missions in the future (Annex G provides a template for the EoAR as it is conducted by the UN).
- The EoAR should be submitted to the Chairperson and the Commissioner 2–4 weeks prior to departing the mission area.

¹⁷ Portions of this section are adapted from “In-Briefing and Debriefing of Senior Managers of DPA SPMs, and DPA Supported Special Envoys.” UN Department of Political Affairs. 7 October 2009.

- Mediators should visit AU HQ in Addis Ababa for a debriefing, immediately following their departure from the mission area. The scheduling of the debriefing visit should be determined 6–8 weeks in advance in order to allow for scheduling of meetings.
- The debriefing will be conducted by a professional mediation specialist within/hired by CMD. The debriefing process is designed to capture the mediator’s reflections on the mediation’s strengths and weaknesses, plus lessons learned that can be incorporated into the AU’s knowledge management system for conducting peacemaking and peacebuilding processes. The procedures for this debriefing are the subject of a separate guidance document on AU knowledge management.¹⁸
- Other members of the mediation team will also have a debriefing at the end of their contract period, using the same format. This debriefing will also be conducted by the mediation specialist.
- The AU will incorporate the information from these debriefing sessions into their Knowledge Management Framework, to be made available for future AU mediators.

XI. Evaluation of finalised AU mediations¹⁹

Key elements in the evaluation process include:

- Identifying the objectives and “theory of change” that the mediation strategy incorporated. The theory of change is the set of assumptions about how the strategy will lead to the desired objectives.
- Identifying and accounting for missing data from the initial conflict assessment and from the mediation process itself.
- Using available data, including but not limited to the debriefings of the

¹⁸ One of the existing resources to be used for developing the AU knowledge management system is Mason, Simon and Matthias Siegfried, “Debriefing Mediators to Learn from Their Experiences.” (2010) Peacemaker’s Toolkit, U.S. Institute of Peace, Washington, DC, in collaboration with CSS, Zurich and swisspeace, Bern.

¹⁹ Adapted from “Guidance on Evaluating Conflict Prevention and Peacebuilding Activities: Working Draft for Application Period.” (2008) OECD: DAC Network on Conflict, Peace and Development Cooperation and the DAC Network on Development Evaluation.

mediation team, examining the mediation effort using the criteria of *relevance, effectiveness, efficiency, sustainability and impact*:

- a. *Relevance*: The relevance criterion is used to assess the extent to which the objectives and activities of the mediation responded to the needs of the peacebuilding process.
 - b. *Effectiveness*: Effectiveness is used to evaluate whether a mediation process has reached its intended objectives.
 - c. *Efficiency*: This criterion is used to assess how economically resources/inputs (funds, expertise, time, etc.) were converted to results.
 - d. *Sustainability*: Sustainability is defined as the continuation of benefits from a mediation process after it has been completed. It includes the probability of continued long-term benefits and resilience to risk over time in terms of financial, institutional, human resource, management and other elements.
 - e. *Impact*: The criterion of impact refers to positive and negative, primary and secondary long-term effects produced by a mediation process, directly or indirectly, intended or unintended.
- The evaluation will be conducted by an external evaluator who has experience with mediation and/or peacebuilding processes.
 - The template for the final evaluation will be further developed as part of the Knowledge Management Framework for AU Mediation. It is likely to follow the advice given in “Encouraging Effective Evaluation of Conflict Prevention and Peacebuilding Activities: Towards DAC Guidance”:²⁰

Guiding principles for evaluations

- a. A conflict prevention and peacebuilding evaluation is itself an intervention in a conflict context and should respect the same principles of conflict sensitivity as any other intervention.

¹⁹ Adapted from “Guidance on Evaluating Conflict Prevention and Peacebuilding Activities: Working Draft for Application Period.” (2008) OECD: DAC Network on Conflict, Peace and Development Cooperation and the DAC Network on Development Evaluation.

²⁰ Mary Anderson, Diana Chigas, and Peter Woodrow of CDA Learning Projects wrote the report, published by the OECD Development Cooperation Directorate, 11 September 2007.

- b. From the beginning, an evaluation process should incorporate a plan for engaging specific audiences/constituencies regarding the findings, results, recommendations and/or lessons.
 - c. An evaluation should contribute to a learning process that influences policy and programme (re)conceptualisation and/or (re)design.
 - d. Assessment of the initial strategy of the mediation effort should employ criteria similar to those that will be used to evaluate the proposed activity during and after implementation.
- The results of the evaluation will be reported to the Chairperson, the Commissioner, and the Director of PSD.
 - The results of the evaluation will be incorporated into the Knowledge Management Framework, for access by future mediation teams.

Annex A: Conflict analysis template

(Adapted from the “Interagency Conflict Assessment Framework” U.S. Government Interagency Working Group, 2008)

Step One: Evaluate the context of the conflict

In order to determine the preceding elements of the conflict dynamic, the assessment team should follow a series of analytical steps. First, the team should evaluate and outline key contextual issues of the conflict environment. Context does not cause conflict but describes often long-standing conditions resistant to change. Context may create pre-conditions for conflict by reinforcing fault lines between communities or contribute to pressures making violence appear as a more attractive means for advancing one’s interests. Context can shape perceptions of identity groups and be used by key actors to manipulate and mobilise constituencies. **Context includes, for example: environmental conditions, poverty, recent history of conflict, youth bulge, or conflict-ridden region.**

Step Two: Understand core grievances and social/institutional resilience

The team should understand, agree upon and communicate the concepts of core grievance and sources of social/institutional resilience as defined here and describe them within the specific situation being assessed.

Core grievance: The perception, by various groups in a society, that their needs for physical security, livelihood, interests or values are threatened by one or more other groups and/or social institutions.

Sources of social/institutional resilience: The perception, by various groups in a society, that social relationships, structures or processes are in place and able to provide dispute resolution and meet basic needs through non-violent means.

In Step Two, the assessment team should:

- **Describe identity groups who believe others threaten their identity, security or livelihood:**

Identity groups are groups of people that identify with each other, often on the basis of characteristics used by outsiders to describe them (e.g. ethnicity, race, nationality, religion, political affiliation, age, gender, economic activity or socio-economic status). Identity groups are inclined to conflict when they perceive that other groups' interests, needs and aspirations compete with and jeopardise their identity, security or other fundamental interests.

- **Articulate how societal patterns reinforce perceived deprivation, blame and inter-group cleavages and/or how they promote comity and peaceful resolution of inter-group disputes:**

Societal patterns associated with conflict reinforce group cleavages, for example: elitism, exclusion, corruption/rent-seeking, chronic state capacity deficits (e.g. systematic economic stagnation, scarcity of necessary resources, ungoverned space), and unmet expectations (e.g. lack of a peace dividend, land tenure issues, disillusionment and alienation). Impacts of societal patterns often include negative economic consequences for disadvantaged groups.

- **Explain how poor or good institutional performance aggravates or contributes to the resolution of conflict:**

Institutional performance considers formal (e.g. governments, legal systems, religious organisations, public schools, security forces, banks and economic institutions) and informal (e.g. traditional mechanisms for resolving disputes, family, clan/tribe, armed groups and patrimonialism) social structures to see whether they are performing poorly or well and whether they contribute to conflict and instability or manage or mitigate it. In assessing institutional performance it is important to distinguish between outcomes and perceptions. Institutional outcomes are results that can be measured objectively; perceptions are the evaluative judgements of

those outcomes. Understanding how outcomes are perceived by various groups within a society, especially in terms of their perceived effectiveness and legitimacy, is an important component of conflict diagnosis.

The assessment team completes Step Two by listing core grievances and sources of social and institutional resilience.

Step Three: Identify drivers of conflict and mitigating factors

The team should understand and outline drivers of conflict and mitigating factors as defined here and enumerate those identified within the specific situation being assessed.

Drivers of conflict: The dynamic situation resulting from key actors' mobilisation of social groups around core grievances. Drivers of conflict can be understood as active energy, while core grievances are potential energy.

Mitigating factors: The dynamic situation resulting from key actors' mobilisation of social groups around sources of social/institutional resilience. Mitigating factors can be understood as the kinetic energy produced when key actors mobilise the potential energy of social and institutional resilience.

In Step Three of the analysis, the assessment team identifies key actors that are central to producing, perpetuating or profoundly changing the societal patterns or institutional performance identified in Step Two.

The assessment team should identify whether key actors are motivated to mobilise constituencies toward inflaming or mitigating violent conflict and what means are at their disposal.

In Step Three, to perform the analysis, the assessment team should:

- **Identify key actors:**

Who: People, organisations or groups who, because of their leadership abilities and/or power (e.g. political position, moral authority, charisma, money, weapons):

- Have an impact on societal patterns/institutional performance;
- Are able to shape perceptions and actions and mobilise people around core grievances or social and institutional resilience;
- Are able to provide the means (money, weapons, information) to support other key actors who are mobilising people around core grievances or social and institutional resilience.

Where: Look for key actors in:

- Leadership positions in governing, social or professional organisations or networks (either within or external to a state or territory), including private business, religious organisations, government positions (including, police forces, the judicial system and military), informal and illicit power structures, media and academic institutions.

What & How: Understand key actors' motivations and means by describing:

- What motivates key actors to exert influence on each of the political, economic, social and security systems in a country or area;
- How they exert influence (e.g. leadership capacity, moral authority, personal charisma, money, access to resources or weapons, networks or connections).

- **Determine key actors':**

Objectives: that promote violence or promote peaceful alternatives; and

Means and resources: that are available to actors to accomplish those objectives, including:

- Capacity for violence/intimidation;
- Financial resources (including taxes, “protection” fees, support from external actors or parties);

- Valuable primary commodities (labour, information, forest products, minerals, high value crops, etc.);
- Control of media outlets; and
- Mass support.

Using the information generated on key actors, the assessment team should draft brief narrative statements describing “why” and “how” key actors mobilise constituencies around core grievances and, separately, around sources of social and institutional resilience. Each statement relating to core grievances becomes an entry in the list of drivers of conflict and each relating to sources of social and institutional resilience becomes an entry in the list of mitigating factors.

The assessment team completes Step Three of the analysis by listing the drivers of conflict and, separately, the mitigating factors by the strength of their impact on the conflict.

Step Four: Describe opportunities for increasing or decreasing conflict

The team should specify near-term events or occasions likely to provoke negative or positive changes in the status quo. These events are referred to as windows of vulnerability and windows of opportunity.

Windows of vulnerability: Windows of vulnerability are moments when events threaten to rapidly and fundamentally change the balance of political or economic power. Elections, devolution of power and legislative changes are examples of possible windows of vulnerability. Key actors may seize on these moments to magnify the drivers of conflict.

Windows of opportunity: Windows of opportunity are moments when overarching identities become more important than sub-group identities, for example, when natural disaster impacts multiple groups and requires a unified response. These occasions may present openings for efforts to provide additional support for a conflict’s mitigating factors.

In Step Four the assessment team should:

- **Identify potential situations that could contribute to an increase in violent conflict.**

Windows of vulnerability are potential situations that could trigger escalation of conflict (e.g. by contributing to confirmation of the perceptions underlying core grievances), and often result from large-scale responses to: an increase of uncertainty during elections or following an assassination; an exclusion of parties from important events such as negotiations or elections; or attempts to marginalise disgruntled followers.

- **Identify potential situations that might offer opportunities for mitigating violent conflict and promoting stability.**

Windows of opportunity describe the potential situations that could enable significant progress toward stable peace (e.g. through conditions where core grievances can be reconciled and sources of social and institutional resilience can be bolstered) such as those where overarching identities become important to disputing groups; where natural disasters impact multiple identity groups and externalities require a unified response; or a key leader driving the conflict is killed.

The assessment team completes Step Four by considering windows of vulnerability and windows of opportunity and prioritising drivers of conflict and mitigating factors identified in Step Three.

Annex B: Mediation staff job requirements/descriptions

Lead mediator

Criteria for selection²¹

- Experience and competence in mediation. An Envoy who is a competent mediator will not always be successful but he/she stands a much better chance of success than an inept mediator.
- Credibility with the parties in conflict. Credibility relates to the stature, seniority and experience of the envoy as well as to his/her integrity and 'clean hands' (e.g. an Envoy known to have been corrupt will not have credibility). A mediator who lacks credibility among the parties will not be trusted and taken seriously by them. It is essential in this regard that the Envoy is viewed by the parties as impartial.
- Knowledge of the country, region and parties in conflict. Mediators cannot be effective if they are unfamiliar with the history and dynamics of a conflict. In situations of actual and imminent violence, there is insufficient time for them to acquire this knowledge from scratch.
- Proficiency in at least one of the languages spoken by the parties. It is not good practice to undertake peacemaking through translation. This impedes communication and inhibits the building of sound relationships with the parties.
- Availability for full-time deployment for at least twelve months. For the following reasons, Envoys should not be deployed on a part-time basis: peacemaking is complex and time consuming; there are many parties and groups that require the Envoy's attention; a peacemaker needs to build relationships of trust with the parties; and the parties will become disenchanted with a peacemaker who is only available intermittently.

²¹ Action Plan, Section 11.3.

- Commitment to the values and principles of the AU, including respect for democratic norms, human rights and gender equity.
- Must be an African. It would not make political sense for a roster of AU Envoys to include non-Africans. Depending on the circumstances, however, the Chairperson could invite non-Africans to play a supportive role.
- Personal attributes of a peacemaker. Effective mediators tend to have the following qualities: empathy; analytical ability; excellent political judgement and problem-solving skills; excellent communication and facilitation skills; and a sense of quiet confidence and authority.

Duties²²

In situations of actual and potential conflict, the Envoys would carry out one or more of the following activities depending on the context and the mandate given by the Chairperson:

- Undertake fact-finding in the country and region of conflict, and meet with the parties and other significant actors in order to ascertain the causes and dynamics of the conflict;
- Prepare reports for, and make recommendations on peacemaking to, the Chairperson and the PSC;
- Undertake mediation, facilitate dialogue and/or conduct shuttle diplomacy between the parties;
- Fill the position of chief mediator in multi-party negotiations (e.g. the Arusha talks for Burundi);
- Advise the parties on ways of managing and resolving the conflict;
- Engage with other actors affected by the conflict (e.g. civil society groups and neighbouring states);
- Liaise as required with Member States;
- Liaise with the Envoys from relevant organisations (e.g. the UN and the RECs).

²² Action Plan, Section 11.2.

Senior Analyst

Partial job description

The Senior Analyst should have substantial regional/country-specific expertise as well as political analysis and language skills. Mediation experience is also strongly desirable.

The Senior Analyst should perform the following functions:²³

- Analyse the conflict, the parties and any previous attempts at peace-making;
- Play an on-going monitoring role;
- Gather relevant material for the mediator;
- Advise the mediator on strategic and tactical options for peace-making;
- Assist the mediator in designing, managing and evaluating the peace process;
- Support the mediator in mediating, facilitating dialogue and liaison activities with civil society – e.g. women’s organisations, religious and traditional leaders, trade unions, the business community – to bring more information to the team on the needs and interests of the population.

Chief of Staff to the lead mediator

Partial job description

The CoS should have substantial management and organisational competence to ensure that all aspects of the process are run efficiently and effectively. The Chief of Staff should not be involved in mediating but should instead provide for the overall coordination of the mediation team.²⁴

²³ Action Plan, Section 11.2. This position is referred to as the “technical mediation expert” in the Action Plan.

²⁴ Adapted from Action Plan, Section 12.3.

The function of the CoS is to provide all administrative support, including:

- management of documents;
- travel arrangements;
- financial record-keeping and reporting;
- maintain records of meetings, decisions and communication with the parties in conflict;
- arrange and keep records of communication with all members of the mediation team and with AU HQ.

The CoS must be knowledgeable about the conflict area and speak at least one of the local languages.

Mediation experts

The most important criteria for appointing the mediation experts should be extensive practical experience and a high level of competence in mediation. The experts must have been involved in several mediations in high-intensity conflict and must be judged favorably by their peers. In addition, they should have good comparative knowledge of peace processes and agreements; good analytical and organising skills; an ability to build relationships at all levels of society; proficiency in at least one of the languages spoken by the parties; and availability for deployment on a part-time basis for 6–12 months.

Annex C: Elements to be included in Envoy terms of reference

- Brief summary of current conflict situation that warrants the appointment of an Envoy.
- Previous AU involvement in the conflict area, if any.
- Reasons for AU involvement now; what the Commission hopes to accomplish with the appointment of an Envoy.
- Mandate for the Envoy; goals and expectations; criteria for success.
- Length of appointment; starting date; terms for renewal of appointment.
- Appointment classification and salary.
- Staffing to be provided.
- Budget to be provided for conducting the mediation process.
- Reporting requirements: to whom to report; frequency of reports; essential information to be included.
- Requirement to participate in debriefing at end of the contract.

Annex D: Skills enhancement to support AU standard operating procedures for mediation

The AU Standard Operating Procedures (SOPs) for mediation support suggest many new steps for AU Envoys and staff to take in the systematic planning and implementation of mediation processes. To make each of these steps most effective, AU mediation support staff (and Envoys, whenever possible) should receive skills enhancement to increase their skills in several areas of practice. In order to help the AU attain its mediation goals, its staff should be provided with the opportunity to learn as much as possible about good mediation practice and how this is conducted within the AU system.

Mediation is a field of practice that has been studied extensively by both scholars and practitioners to analyse the strategic elements which result in the most effective processes and outcomes. In order to help the AU attain its mediation goals, skills enhancement is necessary to ensure the staff of the AU are fully equipped to implement the new SOPs. In order to do so, AU staff need to know as much as possible about a) good mediation practice and b) the internal procedures within the AU CMD for supporting mediation. The HD Centre will work with the other partner organisations which specialise in training in order to add these issues to the training curriculum of the African Union.

The following is a suggested array of skills to be covered in a state-of-the-art mediation training programme. Each section includes possible resources to be consulted and used, and the suggested participants.

Definitions and best practices of mediation

Mediation is often confused with other conflict resolution practices, such as facilitation and arbitration. This part of the training would introduce participants to definitions of mediation, contexts within which mediation can be effective, and the ways in which mediation practice differs under different circumstances.

It would also introduce participants to the AU mediation SOPs, walking through the document so that it is clear who is to do what, and how the different aspects of the support process work together.

In addition, this sector of the skills enhancement would review the “state of the art” of mediation practice. Dr. Connie Peck has done extensive analysis of the mediation practices of UN SRSGs, and her findings of “best practice” include many specific tactics that mediators can use at different stages in the process to be effective and deal with challenges. The skills enhancement process should present and discuss these tactics. A partial table of contents from this document is included at the end of this Annex.

Participants: All AU Envoys and Special Representatives; all staff and consultants providing support to Envoys, Special Representatives, and other senior staff mediating on behalf of the AU.

Skills to be learned:

- Define mediation;
- Identify the contexts in which it can be effective;
- Identify how mediation can differ under different circumstances;
- Learn “best practice” and tactics used by effective mediators;
- Become familiar with the AU SOPs for mediation support.

Conflict dynamics and conflict assessment

According to the mediation SOPs, the first substantive step taken after the mediator has been appointed is to conduct a complete analysis of the conflict in question. This includes, in part: *gathering/reviewing data about the parties involved, the issues in contention, the interests that each of the parties brings to the table, any previous negotiation or mediation efforts that have taken place, and the resources the mediator can rely upon in his/her role.*

The first stage of skills enhancement in conflict analysis is to be sure participants understand each of the categories in italics above – what each concept means, what data should be collected to analyse each element, and where such data may be available in a given context.

There are many instruments available to use as a template for mapping and analysing the dynamics of a conflict. This portion of skills enhancement *would review various instruments, looking at the strengths and weaknesses of each*; one well-designed template is attached as Annex A of the mediation SOPs. This template was developed by an Interagency Working Group of the U.S. government, finalised in July 2008.

In addition to reviewing procedures for obtaining the appropriate information, participants will also *learn how to interpret the data in preparation for constructing a strategic mediation plan*, using case study material developed from current African conflicts. Case materials will have to be prepared by the trainers for these exercises.

Participants: To include all AU staff and contractors providing support to Envoys and Special Representatives.

Skills to be learned:

- The elements included in a comprehensive conflict analysis;
- How and where data can be found for each element in the analysis;
- How to interpret the data to lead into strategic planning;
- Which templates are available to guide the analysis, and which ones might be most useful in particular conflict situations.

Strategic and operational planning

The mediation SOPs require the mediation staff to construct both strategic and operational plans for the mediation process. This part of the skills enhancement would *(a) define and differentiate strategic and tactical plans; (b) educate mediation staff members on how to construct each type of plan; and (c) review how such plans are updated as the ground situation changes.*

A strategic plan involves a set of objectives and a plan for attaining them, given changing circumstances and the uncertain choices and responses of other actors. Effective strategic thinking and planning requires practice, using guidelines developed to assist in defining objectives and in creating contingent courses of action. The AU has developed a template for strategic planning, which is adapted from the 'African Union Mandating Process for Peace Support Operations - Aide Mémoire: The African Union's Planning and Decision Making Process' (Version 3, 30 October 2009, pages 34, 41-42). Participants in the skills enhancement will learn how to use this framework to construct a sound mediation strategy.

An operational plan is a detailed set of steps to implement the strategy. Participants will learn how to build upon their strategic plans to construct concrete steps and timelines. *Skills enhancement materials will include case analyses of mediation processes completed by AU Envoys and Special Representatives.*

Participants: All AU contractors and staff providing support to Envoys and Special Representatives. If possible, the Envoys and Special Representatives should also participate in this portion of the skills enhancement.

Skills to be learned:

- What is a strategic plan?
- How does one draw upon the data from a conflict analysis to construct such a plan?
- Using the existing AU template for strategic planning;
- What is an operational plan?
- How an operational plan follows from a strategic plan;
- Templates that can guide the development of a procedural plan;
- How a procedural plan can be implemented and updated as circumstances change.

Monitoring and evaluation

As with conflict assessment, there are multiple approaches to evaluating the impact and success of mediation processes. Mediation staff, in particular those in the role of Senior Analyst (see mediation SOPs), will learn *about the purposes of evaluation and the steps involved in carrying out an effective process*.

According to the SOPs, evaluation is to be carried out at various points in the mediation process in order to assess progress and determine whether changes in strategy or tactics are required. While each mediation process has unique elements, there are many common challenges and dynamics that reviewers can monitor to provide valuable feedback both during, and at the conclusion of, each process. Such end-state data will also be a key part of the Knowledge Management Framework to be developed in parallel with the SOPs. Participants will *become familiar with the most appropriate monitoring and evaluation tools for use in mediation processes, and practise applying them in simulation exercises*.

Participants: AU staff and consultants providing support to Envoys and Special Representatives.

Skills to be learned:

- The purposes of monitoring progress and conducting a final evaluation;
- Using the strategic and operational plans as a basis for monitoring;
- How to gather data for monitoring;
- How to adjust a mediation process based on monitoring data;
- How to conduct a debriefing with a senior mediator;
- How to write up a final evaluation report;
- The elements of the AU Knowledge Management Framework, and how the evaluation data from a mediation process is used in this Framework.

Annex E: AU Envoy briefing packet

Contents checklist (Adapted from “UN Checklist of Materials.” UN Mediation Support Unit)

Country/Mission information (required)

- Country profile & brief history with description and analysis of the conflict;
- Country information from Situation Room reports/tracking information;
- Contact information of key local, regional and AU/ international/UN actors;
- Contact information of previous Envoys/mediators, field staff and AU Desk Officers;
- Key mission policy and organisational documents, if applicable;
- Ceasefire and/or peace agreements;
- End of assignment reports from previous mediations;
- Most recent Security Council Resolution, if applicable;
- Most recent UN/OHCHR Human Rights report;
- NGO reports, e.g. Human Rights Watch, Amnesty International, International Crisis Group;
- Relevant code cables, correspondence;
- Relevant media clippings.

A Manual for Mediators

Compiled by Dr. Connie Peck

To be published by UNITAR and the UN MSU

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Lessons from UN Mediation Experience

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- Using a Single Negotiating Text
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- Eschewing Artificial Deadlines
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- Dealing with Spoilers
- Achieving Peace Agreements that Facilitate Implementation
- The Special Issue of Accommodating Peace and Justice
- Settling for a Less than Perfect Deal
- Establishing Public Commitment

Basic AU information (required)

- AU Peace and Security Architecture – relevant protocols;
- AU Conflict Management Division (CMD) mandate;
- AU/PSA Organisational Chart;
- List of AU acronyms;
- PSD/CMD directory (list of PSD/CMD staff, main responsibilities and contact info);
- Other relevant organisational documents as needed.

AU supporting documents (for reference)

- Constitutive Act of the African Union (2000);
- OAU Charter (1963);
- African Charter on Human and Peoples' Rights (1981);
- African Charter on the Rights and Welfare of the Child (1990);
- OAU Convention on the Prevention and Combating of Terrorism (1999);
- Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa (2003);
- Protocol of the Court of Justice of the African Union (2003);
- Protocol on Amendments to the Constitutive Act of the African Union (2003);
- African Union Convention on Preventing and Combating Corruption (2003);
- Protocol to the OAU Convention on the Prevention and Combating of Terrorism (2004);
- African Charter on Democracy, Elections and Governance (2006);
- African Youth Charter (2006);

- Protocol on the Statute of the African Court of Justice and Human Rights (2008);
- Additional documents as requested.

Technical guidance

- UN Peacemaker website (peacemaker.unib.org);
- Other links as needed.

Annex F: Template for quarterly review

- Brief summary of changes in the conflict situation since the last report. Have any further opportunities or obstacles surfaced that are affecting the mediation process?
- Was the overall strategy amended/revised during this period? If so, why and how?
- Which strategic objectives took priority in this last quarter? What progress, if any, was made on these?
- What mediation tactics are having positive effects? What tactics might need to be changed/amended to be effective?
- How well are the partnerships with other Envoys working? Recommended changes?
- Comments on the usefulness of an ICG or Panel of the Wise;
- Other general comments/observations.

Annex G: UN template for after action review²⁵

Name of activity/project:

Date of after action review (AAR):

Date or duration of activity/project:

If the AAR covers only part of a project, this should be indicated.

Background:

Background to the activity or project under review. This section could include a brief history of the project or event and facts and figures.

Objectives of the event/project:

Indicate what the intended or stated objective of the activity/project was. If there is no consensus among the participants about the exact objective, this should be noted here.

Achievements/results of the event/project:

Summarise the main achievements and results of the activity/project. Include achievements that led towards meeting the objective, as well as other unintended results (positive or negative).

Process (mapping and/or methodology):

Help colleagues avoid having to “reinvent the wheel” by summarising the methodology and tools used by the team in the course of the project. The purpose of this section is to provide an account of how the activity was carried out and using what tools in order to facilitate replication in another mission. Useful project documents such as checklists, staffing tables, terms of reference, planning documents, assessment sheets, etc., should be attached as annexes. If possible, a process map should be included to describe the sequence of actions leading to the final result. Existing guidance on the process should be referred to, and

conformity or divergence between how the process was conducted and official guidance should be noted and explained.

Good/best practice/what worked well:

Note activities or approaches that worked well. Specifically, note approaches/activities that, in the group's opinion, could or should be adopted or repeated by others conducting a similar exercise in the future.

Lessons learned/what did not work well or could be improved:

Note activities or approaches that proved to be problematic. Specifically, note activities or approaches that should be avoided by others conducting a similar exercise in the future.

Quotes from the AAR: Note memorable and highly descriptive quotes from the AARs. Select the quotes on the basis of how representative they are. They should succinctly describe the learning that occurred in the AAR.

Specific actionable recommendations:*i. Mission-level (if applicable)*

Provide recommendations on how best to execute the event/project under review. Recommendations should be action oriented. For example, when the 'what did not work well' section above includes "We had no clue what was expected of us", the recommendation could be "define and distribute the objectives of the tasks well in advance of the project".

ii. DPA/ HQ-level (if applicable)

Include actions that should either be repeated or avoided in a similar event or project in other missions or DPA Headquarters, paying particular attention to how things should be done differently to improve the overall event/project. Recommendations that could be applied in DPA system-wide should be specifically listed and directly correlated to address a specific issue. Identify areas where policy development could provide a solution.

²⁵ « *Guidelines for After Action Reviews* », Département des affaires politiques de l'ONU (DAP).

Keywords associated with this AAR:

Identify some keywords to be associated with the AAR for search purposes.

AAR annexes and background documents:

List relevant background documents, such as a project proposal, project management documents, or any available guidance relevant to the activity or project.

Participants in the AAR:

List the participants in the AAR, including the facilitator and note taker.

Contacts:

List a contact person (or people) for follow up questions. Include names, titles, phone numbers and e-mail addresses.



