

DPA MULTI-YEAR APPEAL

2012 UPDATE



Department of Political Affairs



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Cover photo

Secretary-General Ban Ki-moon speaks with a member of the audience after delivering a speech, "Listening to the People: A Changing Arab World and the UN", in Cairo, Egypt 21/03/2011.
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Department of Political Affairs

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Donor Member States interested in receiving further information on the Multi-Year Appeal should contact Ms. Delphine Bost (bostd@un.org) or Ms. Elizabeth Leff (leffe@un.org).

List of Acronyms

ASEAN	Association of Southeast Asian Nations	PBF	Peacebuilding Fund
ASG	Assistant Secretary-General	PC	Peacebuilding Commission
AU	African Union	PBSO	Peacebuilding Support Office
BCPR	Bureau of Crisis Prevention and Recovery	PDA	Peace and Development Adviser
BNUB	UN Office in Burundi	PMD	Policy and Mediation Division
BINUCA	UN Integrated Peacebuilding Office in the Central African Republic	PPU	Policy Planning Unit
BPA	Bougainville Peace Agreement	PRST	Security Council Presidential Statement
CARICOM	Caribbean Community	RC	Resident Coordinator
CEPGL	Economic Community of the Great Lakes Countries	SADC	Southern African Development Community
CICIG	International Commission against Impunity in Guatemala	SASG	Special Adviser to the Secretary General
DPA	Department of Political Affairs	SC	Security Council
DFS	Department of Field Support	SICA	Sistema de la Integración Centroamericana
DPKO	Department of Peacekeeping Operations	SPM	Special Political Mission
DSRSG	Deputy Special Representative of the Secretary-General	SRSR	Special Representative of the Secretary-General
EAC	East African Community	SSR	Security Sector Reform
EAD	Electoral Assistance Division	TRCT	Truth for Reconciliation Commission for Thailand
ECCAS	Economic Community of Central African States	UNAMI	UN Assistance Mission for Iraq
ECOWAS	Economic Community of West African States	UNASUR	Union of South American Nations
ECPS	UN Executive Committee on Peace and Security	UNCT	UN Country Team
EO	Executive Office	UNDAF	UN Development Assistance Framework
EU	European Union	UNDP	UN Development Programme
GA	General Assembly	UNFICYP	UN Peacekeeping Force in Cyprus
GCC	Cooperation Council for the Arab States of the Gulf	UNHCR	Office of UN High Commissioner for Refugees
GLU	Guidance and Learning Unit	UNIFEM	United Nations Development Fund for Women
HQ	Headquarter	UNIOGBIS	UN Integrated Peacebuilding Office in Guinea-Bissau
IATF	Inter-Agency Task Force	UNIPSIL	UN Integrated Peacebuilding Office in Sierra Leone
ICGLR	International Conference on the Great Lakes Region	UNMIN	UN Mission in Nepal
IFES	International Foundation for Electoral Systems	UNMIK	UN Interim Administration Mission in Kosovo
IIDEA	International Institute for Democracy and Electoral Assistance	UNON	UN Office at Nairobi
IOM	International Organization for Migration	UNOAU	UN Office to the African Union
ISF	Integrated Strategic Frameworks	UNOB	UN Office in Belgrade
LRA	Lord's Resistance Army	UNOCA	UN Regional Office for Central Africa
MSU	Mediation Support Unit	UNOCI	UN Operations in Côte d'Ivoire
NTC	National Transitional Council	UNOWA	UN Office for West Africa
OAS	Organisation of American States	UNPOS	UN Political Office for Somalia
OCHA	UN Office for the Coordination of Humanitarian Affairs	UNRCCA	The UN Regional Center for Preventive Diplomacy for Central Asia
ODA	Overseas Development Assistance	UNSAC	UN Standing Advisory Committee on Security Questions in Central Africa
OHCHR	UN Office of the High Commissioner for Human Rights	UNSC	United Nations Staff College
OSCE	Organization for Security and Co-operation in Europe	UNSCO	Office of the UN Special Coordinator for the Middle East Peace Process
OSAA	UN Office for Special Adviser for Africa	UNSCOL	UN Special Coordinator for Lebanon
		UNSMIL	United Nations Support Mission in Libya
		USG	Under-Secretary-General

Foreword

The Department of Political Affairs (DPA) is pleased to present its latest Appeal to donors at a moment of growing demand for its activities. The international community has demonstrated a mounting sense of urgency about conflict prevention and a growing acknowledgement of the cost-effective contributions made by United Nations envoys, mediators and political missions in the field.

This trend was particularly evident during the recent opening of the UN General Assembly in September, as world leaders repeatedly emphasized the importance of conflict prevention and mediation in the settlement of disputes. Secretary-General Ban Ki-moon presented to the membership the first ever UN report on preventive diplomacy and, in his keynote address to open the General Assembly's 66th Session, defined conflict prevention as one of the foremost priorities for his second term. During a ministerial-level meeting of the Security Council the next day, the Secretary-General called for effective preventive action as well as the need for additional resources. While mediation is cost-effective, it needs continued financial investment to be successful. Earlier in the year, the World Bank focused its 2011 World Development report on the nexus between conflict, development and security, making a strong case for investments in conflict prevention.

The UN is making important progress in this regard, which was widely acknowledged in these high-level discussions. Voluntary contributions have been an indispensable part of this change and the ongoing effort to retool DPA for more agile response to actual and potential crises around the world. We are beginning to see the results of those investments – in people, expertise, field presence and partnerships.

DPA's activities in 2011 were heavily shaped, for example, by the political upheavals sweeping the Middle East and North Africa (MENA). These events took place in countries where the United Nations has no political or peacekeeping mission on the ground. DPA was able, nonetheless, to work at the very centre of the multi-faceted UN response to meet the evolving needs. The Multi-Year Appeal mechanism, with its two rapid response windows, is specifically designed to respond to such crises. Through a supplementary Donor Appeal for MENA, DPA was able to quickly deploy mediators, electoral experts and political staff to support dialogue processes and liaise with national authorities on UN options and assistance. These efforts have shaped diverse responses tailored to the unique circumstances on the ground, from Tunisia to Egypt, Libya to Yemen. At Headquarters, DPA led strategic discussions on the MENA region as chair of key interagency and inter-departmental task forces. We forged cooperation with UN system partners and raised to a new level our cooperation with Resident Coordinators (RCs) working in difficult transitional contexts around the region.

DPA's range of concerns and activities is of course broader than any one region or crisis. Voluntary contributions helped to make possible a nimble UN response to



*B. Lynn Pascoe,
Under-Secretary-General
for Political Affairs*

situations of tensions in many other parts of the world. Over the past twelve months, UN preventive diplomacy efforts delivered results in a range of situations, from the referendum in Sudan, to the ongoing attention to the democratic process in Guinea, to a more recent engagement to defuse political confrontations in Malawi.

Your contributions also enabled us to provide better support to our envoys and political missions, who are continuously undertaking preventive diplomacy, helping member states to keep tensions in check, nurse peace processes and push political transitions forward. This past year alone, these missions dealt with such issues as: maintaining calm in Gaza and supporting a return to Mideast peace talks, brokering a political path toward stability in Somalia, fostering dialogue and reconciliation in Guinea Bissau and the Central African Republic, encouraging agreements between communities in Iraq, soothing tensions in Lebanon, and facilitating accords on the sharing of scarce resources in Central Asia.

In all of these places, DPA is working with Regional and sub-Regional Organizations and concerned states in seeking to resolve conflicts and enhancing mediation partnerships.

The Department also continued throughout 2011 to sharpen its professional skills and support services available to mediators. New guidance was developed for mediators in the field, and a new slate of professionals joined our Standby Team of Mediation Experts, including its first specialist on gender and conflict. DPA's electoral assistance operations continued to be reshaped with a greater focus on preventing elections from becoming flashpoints for conflict. We also deepened our attention to such cross-cutting threats as drug trafficking, organized crime and terrorism, which have become intertwined with traditional political conflicts and complicate prospects to prevent and resolve them.

Finally, we are developing and refining tools to better assess, illustrate and communicate the impact of our work. It is true that preventive action rarely has the same visibility as other UN activities; achievements are often quiet and many initiatives take time to reach fruition. Success, simply put, is harder to measure. We realize, however, that along with greater expectations for results comes the need to provide clear information and assessments of our activities. We are doing our utmost to meet those responsibilities.

The Appeal before you describes many of the achievements and challenges faced in 2011 and requests US\$16 million for our activities in 2012 in the five Strategic Areas that define our work. While we cannot predict with certainty where our efforts will be needed, we can and will keep increasing both our ability and our readiness to act. We cannot do this without your continued and, indeed, increased contributions. Modest investments in preventive action are among the smartest ones you can make at this time.

Sincerely,



B. Lynn PASCOE
Under-Secretary-General for Political Affairs

DPA's 2012 Update of the Multi-Year Appeal

In 2011, DPA introduced a more coherent approach to fundraising, moving to a multi-year cycle, and aligning the extra-budgetary Appeal with the cycles of the Regular Budget's Strategic Framework.

Status of Contributions (as of September 2011)

Last year, DPA called for \$17.9 million to cover the activities included under the Multi-Year Appeal (the Appeal). As of September 2011, only \$6 million had been received and \$4,5 million has been received from separate donor appeals for the MENA region and Nepal¹. In total, \$10,5 million was received, representing a 4% increase of programmed funds from 2010. More financial data can be found on page 26. With limited funding received in 2011, DPA's Project Review Committee assessed priority activities throughout the year to maximise the use of resources and respond adequately to any surge of activity on the ground.

Guided by the five Strategic Priorities

The 2012 Update of the Appeal continues to be guided by the Strategic Priorities, deriving from DPA's overall mandate and presented last year (see page 23), focused in five distinct areas where DPA is increasingly active and operational, but where Regular Budget resources are insufficient to meet the full set of demands.

DPA will continue to develop innovative tools and mechanisms for rapid response, to meet the challenge of preventing armed conflict and to strengthen its mediation support role.

DPA will enhance support to its field presences, which serve as platforms for dealing with crises. The Department will work to reinforce democratic processes around the world, particularly through electoral advice and support, in close conjunction with the UN Development Programme (UNDP). DPA will also deepen its strategic partnerships with Regional and sub-Regional counterparts. All of this work will be buttressed by a reinforced capacity within DPA to learn lessons from past engagements, deepen our knowledge base, and strengthen support to the field.

Taking into account the level of income generated in 2011, the 2012 Update of the Appeal requests a total of \$16 million for 2012 to cover specific activities and initiatives in pursuit of the five outcome areas. Many successful activities presented last year are being continued in 2012; these are coupled with a set of new concrete programmes and activities especially in the MENA region. Activities such as planning, resource-mobilization, pro-

Summary Statistics (as of September 2011)

- ▶ DPA Regular Budget in 2010-2011: \$83,1 million.
- ▶ DPA's Total Budget for All Special Political Missions, including UNAMA (\$282 million) and UNAMI (\$210 million)*: \$676,4 million.
- ▶ Income generated in 2011 by the Multi-Year Appeal: \$6 million (33% of requested amount funded).
- ▶ Total contribution/pledges received for MENA and Nepal in 2011 (supplementary Donor Appeals): \$4,5 million.
- ▶ Total funds programmed for 2011**: \$10,5 million.
- ▶ Percentage of funds programmed: +4% increase from 2010 (as of September 2011).

* As per A/65/328.

** \$10,5 million covers only activities under the Multi-Year Appeal, MENA and Nepal—excluding support to other programmes or trust funds in DPA.

¹ See Separate Appeal "DPA's Assistance to the Middle East and North Africa until December 2011"—last version 6 July 2011; and separate project proposal on Nepal, dated 22 February 2011.

Official Development Assistance (ODA)

DPA activities fall within the boundaries of ODA and are in line with the OECD's development priorities in the area of conflict and fragility. Even though DPA does not undertake developmental projects as such, its work in many cases is essential to the economic development and welfare of a state. While DPA's mandate is not limited to developing countries, the overwhelming majority of activities are taking place in them. Activities relating to conflict prevention are ODA-eligible, provided they do not involve assistance to security forces. DPA is not yet registered on the list of ODA-eligible organizations, while the United Nations is. An application for official registration has been put forward to the DAC Working Group on Statistics which will decide in June 2012.

ject management, logistical support, reporting, public information, etc., are critical for the success of this Appeal and for the success of DPA operations. The work carried out by the Public Information and Donor Relations Units remains heavily reliant on donor funding as well as some extra-budgetary functions carried out by the Executive Office.

The five Strategic Priorities for which DPA seeks support in 2012 are listed below and described in detail in the following pages:

1. Responding in a timely manner to situations of potential violent conflict;
2. Providing effective and timely support to political missions in the field;
3. Enhancing the capacity of Regional and sub-Regional Organizations;
4. Strengthening DPA's capacity and expertise to address peace and security challenges more effectively; and
5. Enhancing the capacity of stakeholders requesting electoral assistance to strengthen their democratic processes and prevent election-related violence.

Outcome Area	2012 only	Total 2012-2013
1	5,2	10,6
2	3,5	7,3
3	2,4	5,2
4	3,2	6,6
5	1,7	3,3
Total	16	33

Projections in 2013 include DPA's continued support to MENA (figures in millions of US dollars)

How to contribute?

Donors are asked to make their contributions as early as possible in the calendar year so that DPA is able to respond to any ensuing crisis or request from Member States and other stakeholders. Multi-year agreements are encouraged, to the extent possible, to provide predictable and regular funding. In order to enhance DPA's flexibility, un-earmarked contributions are encouraged, or as an alternative, earmarking at the highest level possible (priority area) to allow for flexible allocations.

Outcome Area 1: Responding in a timely manner to situations of potential violent conflict

Preventive diplomacy is a relatively low-cost, potentially high-yield activity, however, it requires flexible funding in order for the organization to move fast and seize peacemaking opportunities, respond to crises or support transition processes.

With rapid response funding, the Department can prioritize early action, fund mediators, experts and staff on the ground, prepare the mediator and his/her team, train negotiating parties engaged in the peace process and support negotiations and the drafting of peace agreements. Rapid response funding also allows DPA to assist Resident Coordinators (RCs) through the deployment of a wide range of experts to assist with transition processes, mediation or elections. This support often takes place in countries where the UN has no missions.

Even in situations where the Security Council is not formally involved, DPA can support the good offices of the Secretary-General, using a range of expertise to build a strategy with other key actors. For example, in Yemen, the Secretary General dispatched a senior UN Official, Mr. Jamal Benomar, to consult with all national stakeholders and international partners (especially the Gulf Cooperation Council (GCC)) on how the UN can best support efforts aimed at resolving the crisis.

Cost effectiveness of conflict prevention

“Recent work on six cases concluded that conflict prevention would have been cost-effective in each instance, even allowing for large margins of error in estimating costs and benefits: every dollar of prevention would have saved the international community US\$4,1”

World Bank, “World Development Report: Conflict, Security and Development” (2011), p. 186.

Key achievements in 2011

Flexible funding used to support the Middle East and North Africa (MENA)

Momentous change in the MENA region came with little warning. DPA was well equipped to start supporting transition processes as events unfolded, shaping the future role of the United Nations. The Department dispatched its officials to the field to assess conditions and devise appropriate responses in Egypt, Tunisia and Yemen while dedicated staff provided support to the Secretary-General’s Special Envoy for Libya and the Special Adviser for post-conflict planning. From early on in the Libyan conflict, integrated pre-assessment analysis was conducted; bringing together Departments and Agencies to develop a better understanding of what challenges post-conflict Libya might face. As a result, the UN Support Mission in Libya (UNSMIL) was able to quickly initiate its start-up phase following the adoption of the mission’s mandate by the Security Council in mid-September. DPA also worked with partners to make available UN expertise on democratic transitions in the cases of Egypt and Tunisia. The total of rapid response funding allocated for MENA as of 31 August 2011 is \$1,3 million.

While rapid response allows DPA to kick-start activities, it cannot be used to cover any major surge of activity beyond the initial period. For that reason, DPA launched a separate Donor Appeal² in spring 2011 to cover specific needs in the MENA region, calling for

² DPA’s Assistance to the Middle East and North Africa (MENA), dated 6 July 2011.



Secretary-General Ban Ki-moon (centre) briefs the press following his videoconference with major regional organizations, such as the African Union and European Union, on providing assistance to Libya for emergency aid and a democratic transition. UN PHOTO/MARK GARTEN

an additional \$4,5 million to cover costs until 31 December 2011. In 2012, rapid response funding for MENA (and possibly to the Sahel Region) is included in the broad framework of the Multi-Year Appeal.

Flexible funding used in 2011 (except MENA)

In 2011, rapid response funding was used for the start-up of mediation, preventive diplomacy and good offices efforts in approximately 10 instances outside MENA.³ These initiatives include the deployment of DPA staff to offer political guidance and/or the deployment of mediation, electoral assistance, often coupled with the deployment of experts from the Standby Team of Mediation Experts. The total of rapid response funding (non-MENA) allocated as of 31 August 2011 was approximately \$1 million.

For example, in Niger, a Senior Mediation Adviser deployed at the request of UNOWA’s SRSG, Mr. Said Djinnit, remained through elections during January-March 2011 and the April conclusion of the transitional period. The

³ Niger, Honduras, Nicaragua, Kyrgyzstan, Nepal, Secretary-General’s Personal Representative of the Border dispute between Guyana/Venezuela and Malawi.

Malawi

Malawi is a good example of crisis response and of what preventive diplomacy is all about. Following the 20 July demonstrations in Lilongwe which culminated in the death of 19 people, a Senior DPA official was deployed to the country and helped to defuse the tension between the Government and the opposition and to head off confrontation. He quietly mediated discussions and the Malawian parties subsequently agreed to engage in an UN-facilitated dialogue process. At the request of DPA, the Director-General of the UN Office at Nairobi (UNON) is continuing to facilitate the dialogue process.

The estimated cost of deployments until the end of 2011 is \$40,000

Senior Mediation Adviser provided advice on key constitutional issues and monitored electoral developments in the country. He was also instrumental in encouraging adherence to the country's transition programme.

Standby Team of Mediation Experts and the DPA Expert Platform

Since the beginning of 2011, DPA's Standby Team of Mediation Experts (the Standby Team) has been deployed on 35 occasions in support of mediation and other good offices efforts. The Standby Team makes technical expertise available to peace talks globally, supporting mediators in several key thematic areas that frequently arise in peace negotiations.⁴ An external evaluation of the Standby Team carried out in 2011, concluded the Standby Team to be a useful mechanism that typically is rapidly and reliably administered. Based on the recommendations, DPA has taken steps to diversify the geographic distribution of deployments, strengthen gender mainstreaming and improve the management of institutional knowledge.

Where support is needed for up to six months, DPA recruits relevant experts either from its Mediation Roster or from its Gender and Mediation Database. Thirty requests for experts were received during the first half of 2011. The Mediation Roster was used as a model to provide lessons for the

⁴ The 2011 Standby Team members and their respective areas of expertise are: (i) process design, (ii) security arrangements, (iii) power-sharing, (iv) gender and mediation, and (v) constitution-making, natural resources and wealth-sharing.

establishment of mediation rosters for both the Organization of American States (OAS) and the African Union (AU).

Proposed Activities for 2012

DPA will continue to support rapid political responses to deal with crises through:

- ▶ Bolstering flexible funding for the Department's preventive diplomacy, conflict prevention and mediation efforts, through rapid deployments of mediators, UN officials and experts to crisis situations and negotiating settings; and through training of negotiators engaged in peace processes. Around 23 deployments are foreseen for 2012 for an estimated total of \$4,5 million (including MENA). The average cost of one deployment is approximately \$200,000;
- ▶ Strengthening the funding of the Standby Team to provide expertise in thematic areas. Several experts will be funded under DPA's Appeal in 2012 while the remainder will be funded directly through other grants. Around 40 deployments of the Standby Team are foreseen for 2012 adding up to \$1,2 million; and
- ▶ Maintaining the various rosters with the deployment of suitable professionals to meet mediation needs in the field. Approximately 40 requests for experts are foreseen in 2012. The goal in 2012 is to bolster the gender composition of DPA's Mediation Roster. The Gender and Mediation Roster will consist of civil society actors specifically engaged with women and mediation on the ground. The yearly cost of maintaining these capacities is estimated at \$150,000.

Partnerships

In the context of rapid response, DPA works with a wide range of actors including UN entities (in particular UNDP, DPKO and Resident Coordinators in the field); relevant Member States, Regional and sub-Regional Organizations, think tanks, and civil society representatives.

Expected accomplishments

- ▶ Political guidance, support and technical expertise for mediation, good offices and negotiation efforts, provided in a timely manner with fact-finding and assessment missions conducted to anticipate potential hotspots for DPA activities;
- ▶ Demand met for mediation support (inside and outside the UN) to enhance peace processes successfully and facilitated effectively and an increased capacity and capability of Member States and other stakeholders to identify, prevent and address situations of potential violent conflict.

Mediation Support to UN efforts in Libya

Special Envoys are the visible face of preventive diplomacy. At the same time, successful mediation requires a great deal of support and expertise behind the scenes. In Libya, the UN played a central role in the search for a lasting solution to the crisis unfolding in 2011. Until September, DPA provided staff, support and guidance to the Secretary-General's Special Envoy for Libya, Mr. Abdel-Elah Al-Khatib and to the Secretary-General's Special Adviser to coordinate Post-Conflict Planning, Mr. Ian Martin (who now heads the United Nations Support Mission in Libya (UNSMIL)). While conflict was not solved through mediation, the effort made an important contribution to the process and to positioning the UN for the post-conflict phase.

Mediation support, provide by the Africa II and Policy and Mediation Divisions, was crucial for both tracks. A Mediation Planning Team for Libya was established in DPA, using both staff capacities (from the Mediation Support Unit) and from the Standby Team, notably experts on power-sharing, mediation process design and gender issues. Research and technical advice focused on:

- ▶ The mediation of ceasefires and humanitarian ceasefire arrangements,

transition scenarios and the management of spoilers. A mediation strategy was drafted for Special Envoy Mr. Al-Khatib, for his various trips to the region.

- ▶ Support to the post-conflict planning process, including analytical papers on transitional processes and ceasefires; advisory support to the sub-groups on political, military and gender issues.

DPA deployed one Standby Team expert on mediation process design to Benghazi, Tripoli and Dubai on four separate occasions from May to September 2011, to support senior representatives and to liaise with the National Transitional Council (NTC) and other groups.

The Standby Team of Mediation Experts has been generously supported by Norway since its creation in 2007. Since 2009, the European Commission has funded two expert positions. Turkey also supported the Standby Team in 2011.

Outcome Area 2: Providing effective and timely support to political missions in the field

The increasing deployment of political missions by the UN represents an important evolution in the world's response to crisis, conflict and support for transition processes. Assisting DPA's 13 field-based political missions remains a high priority given their importance as a platform for conflict prevention in the field.

Current and future activities of the three Regional Offices

With the opening of the UN Regional Office for Central Africa (UNOCA) in Libreville, Gabon (covering Central Africa), DPA now oversees three Regional Offices with preventive diplomacy mandates, along with those in West Africa (UNOWA) and in Central Asia (UNRCCA).

OUTCOME AREA 1

FOR 2012-2013
\$10,6 MILLION

FOR 2012
\$5,2 MILLION



Inauguration of United Nations Office for Central Africa, March 2011. UN Photo

UNOCA was established in June 2011 to work with the countries of the region, especially the Economic Community of Central Africa States (ECCAS), on peace and security issues. The newly established regional office will support the efforts of Central African states to consolidate peace and prevent conflict, as well as to tackle cross-border challenges to peace and stability, including arms trafficking, organized crime and the Lord's Resistance Army (LRA).

There is continued political and electoral instability in West Africa as illustrated in Mauritania, Guinea, Niger and Togo. These trends have generated a need for UNOWA to engage more in crisis prevention in partnership with sub-Regional Organizations (such as the Economic Community of West African States (ECOWAS)). The Office will potentially be playing a role in UN efforts to help the countries of the Sahel region respond to the repercussions of the Libya crisis. In 2012, Mediation Officer(s), funded through extra-budgetary resources, will continue supporting UNOWA's mediation capacity.

In 2011, UNRCCA sought to forge agreements on water sharing in Central Asia, which is a potential major flashpoint in the area. SRSJ Jenca also continued to support conflict prevention and peacebuilding efforts in Kyrgyzstan through the funding of a Senior Reconciliation Adviser, to facilitate dialogue and build trust among political leaders, the interim authorities, and civil so-

DPA's Liaison Office in Nepal: "a light-foot print approach"

Despite the withdrawal of the UN Mission in Nepal (UNMIN) in January 2011, the peace process remains incomplete and the United Nations has continued to engage all parties through periodic senior-level visits from Headquarters and a small DPA liaison office attached to the Office of the UN Resident Coordinator/Humanitarian Coordinator. This "light foot print" approach is cost-effective, innovative and provides effective backstopping to DPA's efforts in Nepal. This model could be replicated in the future.

ciety representatives. In 2012, UNRCCA will continue to help governments in the region to peacefully and cooperatively manage an array of challenges and threats, including counter-terrorism, drug trafficking, organized crime and environmental degradation.

Mission Backstopping

Backstopping entails the work of New York Headquarters staff dedicated to providing substantive support and guidance to field missions. This involves critical administrative functions such as, budget planning; managerial oversight and coordination with other entities in the UN system; management of mandate extensions or renewals, exit strategies and the closure and liquidation of missions. The average cost of one backstopping post for a year, funded through extra-budgetary resources at Headquarters is \$250,000.

In 2012, DPA will support UNSMIL⁵, established in Libya on 16 September 2011. This mission, led by DPA, provides support in a wide range of areas such as, restoring public security and the rule of law, promoting inclusive political dialogue and national reconciliation, constitution-drafting and elections-support. Two extra-budgetary backstopping positions at Headquarters will be funded in 2012 to liaise with UNSMIL.

Apart from UNSMIL, political missions based in Burundi (BNUB) and Somalia (UNPOS) will also continue relying on voluntarily-funded support for "Headquarters backstopping" to carry out their mandates. Also, DPA will continue to coordinate UN activities related to counter-piracy off the coast of Somalia, including management of the Trust Fund to Support Initiatives of States Countering Piracy off the Coast of Somalia. Activities towards facilitating an agreement between both sides in Cyprus (Office of the Special Adviser of the Secretary-General) are also foreseen in 2012.

DPA liaison office in Nepal

In 2012, DPA's liaison office in Nepal will continue to operate in order to carry out the

good offices of the Secretary-General. It will continue to support the peace process with relevant UN partners through ongoing engagement, including political analysis and day-to-day dialogue with key actors. The average cost of the political cell in Kathmandu for 6 months is \$400,000.

UN facilitation in Yemen to support a political transition process

The political deadlock in Yemen has continued, resulting in tensions and violent confrontations between the government and opposition. Against this background, the UN, as requested by concerned Yemeni parties, has been facilitating a formula for a political transition based on the GCC initiative. These efforts are carried out through the Special Adviser on Yemen, Mr. Benomar, with support from DPA, as a function of the good offices of the Secretary-General. Given the complex and deep-rooted challenges in Yemen, arriving at a mechanism for transition towards a more inclusive and participatory political system as well as tangible economic and social reforms is likely to take time and involve continued engagement by the UN. In this context, support for political facilitation combined with electoral, constitutional and other types of assistance will be required as efforts to reach a transitional agreement continue. To that end, DPA is working in close cooperation with UNDP, UNCT and other UN agencies. DPA's support to the political transition in Yemen is estimated at approximately \$1 million for 2012.

Strategic guidance and integration

DPA has made significant progress in incorporating integration principles in its missions. In 2012, DPA will continue developing a set of tools that will lead to a more effective and efficient start-up and transition process for political missions through drafting of the Guidance on SPM Start-Up and Transition. In partnership with the Department of Field Support (DFS), DPA will focus on the implementation of the Guidance for Field Planning and on training activities to implement integration principles on the ground.

⁵ SC Resolution, S/RES/2009 (2001).



UN Mission in Nepal (UNMIN) Conducts Disarmament Exercise 04 April 2008. UN Photo

OUTCOME AREA 2

FOR 2012-2013
\$7,3 MILLION

FOR 2012
\$3,5 MILLION

The Department plays an important role in improving the security and status of women in post-conflict situations. In 2012, DPA aims to strengthen all gender-related functions, including political analysis, monitoring and reporting on Security Council resolutions,⁶ including the SCR 1325 indicators.

Expected accomplishments

- ▶ Enhanced field activities through greater resources and support from Headquarters;

⁶ Security Council resolution 1325 (2000) on women and peace and security.

- ▶ Increased regional and national dialogues supported by DPA regional offices, liaison offices and peacebuilding support offices in the field;
- ▶ Increased capacity-building programs for local and regional actors on mediation support and conflict prevention;
- ▶ Enhanced support to transition processes in the MENA region; and
- ▶ Systematic monitoring of the implementation of gender sensitive provisions of peace agreements and provide follow-ups.

Outcome Area 3: Enhancing the capacity of Regional and sub-Regional Organizations

The United Nations places great importance on its ever-deepening partnership with Regional and sub-Regional Organizations, who bring invaluable knowledge and influence in the resolution of conflicts. While these institutional partnerships continue to yield results, they take an ongoing commitment to maintain. Experience has shown that a clear division of roles and responsibilities are key ingredients for success.

Current and future activities relating to support and cooperation with Regional and sub-Organizations

By helping Regional and sub-Regional Organizations develop their capacity, the United Nations has been able to work with enhanced leverage to ease tension and support ongoing and future peace processes. These institutional partnerships build on regional capacities and draw on lessons learned from local experience. In 2012, these efforts will continue to be supported through extra-budgetary resources.

Support to Regional and sub-Regional Organizations in Africa

DPA continues to support the UN-AU Ten-Year Capacity Development Program⁷ and the implementation of its two-year (2011-2012) UN-AU work program to enhance AU's mediation capacity and cooperation. In 2011, the focus was on greater coherence of the UN-AU partnership in Libya, Somalia, Côte d'Ivoire, Sudan and South Sudan.

DPA has also been working closely with the AU to build its institutional capacity in the areas of electoral assistance, conflict prevention and mediation. Specific mediation-related activities include the facilitation of a strategic workshop to determine the next steps for the Darfur peace process and finalizing of the "UN-AU guidelines on joint me-

diation providing operational modalities for UN-AU cooperation." In 2012, DPA plans to launch and implement these guidelines, provide gender and mediation training for AU staff and more actively engage the Regional Economic Communities (RECs), including ECOWAS and the Economic Community of Central African States (ECCAS) to set-up their mediation support units.

Through the Southern African Development Community (SADC)⁸ liaison team and within the UN-SADC Framework, the UN is well positioned to enable closer cooperation between the UN and SADC on issues vital to peace and security in the region, including conflict prevention, mediation and elections. In Swaziland, DPA was quick to react and deployed staff from Gaborone for an early assessment of the political situation after mounting tensions between the Government and civil society erupted into protests in March and April of 2011 over the country's financial crisis and troubled political system. In Nairobi, a DPA liaison team established within the United Nations Office at Nairobi (UNON) continues to allow the UN to better identify and assess opportunities for preventive action in the East African/Great Lakes sub-region and to react promptly. For the first half of 2011, the liaison team provided 40 analytical reports on conflict prevention, development and humanitarian affairs in the sub-region. In 2012, the liaison team will continue to work with a broad spectrum of actors in the region, including representatives of Governments and sub-regional entities.

Support to Regional and sub-Regional Organizations in the Americas

Over the past year, DPA has worked on strengthening its collaboration and outreach to the Organization of American States (OAS) through a regular process of desk-to-desk annual meetings and the development of a joint annual work plan on mediation support. Activities for 2012 include a fellowship based in OAS headquarters with periodic visits to MSU, in order to support the development of an OAS expert

⁷ Declaration entitled "Enhancing UN-AU Cooperation Framework for the Ten-Year Capacity Building Programme for the African Union", 16 November 2006 (A/61/630).

⁸ UN-SADC Framework for Cooperation Agreement, 21 September 2010.

roster; and the provision of after-action review methodologies and gender strategy and mediation/dialogue trainings for Latin American Member States.

DPA also continued to engage with the Caribbean community, including as UN focal point for the organization of the sixth biannual general meeting between the UN system and the **Caribbean Community Secretariat (CARICOM)**, which highlighted the need to strengthen cooperation mechanisms. In 2012, plans are being developed for DPA to engage with the **Central America Integration System (SICA)** to provide political assistance and share best practices to develop Central America's capacity to enhance citizen security. DPA has also been working on formalizing a relationship with **Union of South American Nations (UNASUR)**.

Support to Regional and sub-Regional Organizations in Asia, West Asia and in the Middle East

Collaboration with the **Association of Southeast Asian Nations (ASEAN)** in 2011 focused on strengthening cooperation and sharing of experiences in the area of peace and security. At the ASEAN-UN Ministerial Meeting (AUMM) on 27 September, the Secretary-General and the Foreign Ministers of the ASEAN Member States discussed the draft "Joint Declaration on the Comprehensive Partnerships between ASEAN and the UN," which is envisaged to be adopted at the upcoming 4th ASEAN-UN Summit in November 2011. DPA serves a dual role as the global lead for the partnership and the lead in the area of peace and security. This collaboration will continue in 2012.

DPA is also developing a partnership with the **Organization of Islamic Cooperation (OIC)** to support its mediation capacity. This partnership will start in 2012 and includes knowledge sharing and capacity development activities such as joint trainings and exchange of lessons learned. DPA also plans to support a fellow from the OIC Secretariat to work at the MSU for one year to gain experience in mediation support and to implement joint activities with the OIC.

Support to Regional and sub-Regional Organizations in Europe

In 2011, DPA, DPKO and DFS, established a UN liaison office for peace and security in Brussels, representing the Departments of Peacekeeping, Political Affairs and Field Support, to further enhance the UN's partnership with the **European Union (EU)** and other entities in peacekeeping/crisis management, conflict prevention and mediation.

The liaison office maintains and furthers the various mechanisms of institutional dialogue between the UN and the EU, including the EU-UN Steering Committee Meeting on Crisis Management and the EU-UN desk to desk dialogues on conflict prevention which, in 2011, brought together desk officers from across the UN and the EU to improve cooperation in the MENA region amongst others. DPA has also been working with EU counterparts, particularly in the **European External Action Service (EEAS)** to support their endeavor to build an in-house mediation capability by providing expertise and training. These activities will continue in 2012.

In 2011, **UN-Organization for Security and Co-operation in Europe (OSCE)** cooperation increased significantly. Annual staff talks identified areas for closer cooperation in conflict prevention and mediation, disarmament, as well as in a number of regional and country-specific areas of interest. Going forward, DPA plans to support regional reconciliation efforts in the Western Balkans by assisting countries of the region address critical reforms through conducting missions and implementing joint activities with UNDP, UN Office in Belgrade (UNOB), UN Interim Administration in Kosovo (UNMIK) and Regional Organizations.

Expected accomplishments

- ▶ Increased number of Regional and sub-Regional Organizations partnering with DPA;
- ▶ Strengthened institutional relationships and mutual trust with Regional and sub-Regional Organizations with improved formalized mechanisms for information-sharing and dialogue;
- ▶ Increased mediation and electoral support capacity of Regional and sub-Regional Organizations.

OUTCOME AREA 3

FOR 2012-2013
\$5,2 MILLION

FOR 2012
\$2,4 MILLION

Outcome Area 4: Strengthening DPA's capacity and expertise to address peace and security challenges more effectively

2011 saw a growing interest and increasing acceptance of the concept of conflict prevention and a lowering of the political barriers that have existed in the past. The UN now has better instruments, stronger partnerships and greater expertise to engage in preventive diplomacy and mediation. DPA is at the centre of these critical efforts.

Building on successes from 2011

Support for mediation as a tool for dispute and conflict settlement is growing throughout the UN system, including through the adoption of a resolution by the General Assembly,⁹ and the release of the first ever UN-report on the use of preventive diplomacy¹⁰ to resolve tensions and crises before they escalate. A key priority for 2012 is to continue improving operational tools for preventive diplomacy and to develop ideas for their effective and creative use.

DPA will also continue to analyze threats to peace and security. In addition, the Department is playing an increasingly proactive role as the co-Chair of the new UN system Organized Crime and Drug Trafficking Task Force, spearheading a more coherent UN response to this critical issue.

Strengthening conflict mediation capacity will be achieved through the continued strengthening of MSU, which works hand-in-hand with DPA Regional Divisions to plan and support mediation efforts in the field. The Secretary-General's report on preventive diplomacy proposes to prioritize early action, deepen strategic partnerships with regional actors and better equip the "preventive diplomats" who lead efforts on the ground. In all these areas, DPA takes the lead and possesses the relevant expertise. The Policy and Mediation Division (PMD) and its Mediation Support Unit (MSU) continue to develop the skills, tools, policies and best practice on preventive diplomacy

and mediation. In PMD, 7 extra-budgetary positions will be funded through this Appeal for a total of \$1,5 million per year. MSU and the Regional Divisions also support the Secretary-General in his good offices efforts.

"Preventive diplomacy today is delivering concrete results, with relatively modest resources, in many regions of the world, helping to save lives and to protect development gains. It is an approach that may not be effective in all situations and will continue to face the uncertainty, risks and evolving challenges which, in a sense, come with the terrain. Yet, I firmly believe that better preventive diplomacy is not optional; it is necessary."

SECRETARY-GENERAL BAN KI-MOON, 12 SEPTEMBER 2011
[PREVENTIVE DIPLOMACY: DELIVERING RESULTS (S/2011/552)].

Operational Support

Mediation Support

In 2011, the MSU provided a range of operational support services to 18 peace mediation, facilitation and dialogue processes.¹¹ Operational support included briefings, coaching, and mediation strategy development, drafting of analytical inputs on procedural and thematic issues, identifying and deploying longer-term experts, and developing policy guidance, lessons learned and mediation best practices to steer future efforts. Of significance this year, was the finalization of the Mediation Start-Up Guidelines, which articulate the Department's strategic and operational approach to the start-up of mediation initiatives, led, co-led or supported by the United Nations.

Learning from past engagements is a priority, especially where knowledge can be gained from former SRSGs, Envoys and other senior officials. Mr. Ahmedou Ould-Abdallah, former SRSG for UNPOS and UNOWA, completed his participation to the mediator-in-residence programme in March 2011 and drafted a report on his mediation experiences. In 2012, the mediator-in-residence programme will continue.

The Peacemaker website is the repository of mediation knowledge and hosts a library of

⁹ General Assembly Resolution (A/65/L.79).

¹⁰ Report of the Secretary-General "Preventive Diplomacy: Delivering Results" (S/2011/552).

¹¹ PNG (Bougainville), Central Asia (UNRCCA on water issues), Central African Republic – CHAD, Cote d'Ivoire, Guinea, Guyana- Venezuela, Georgia, Lesotho, Madagascar, Sudan (Darfur), Sudan (North-South), Iraq (UNAMI on natural resources), Lebanon, Kyrgyzstan, Libya, Somalia, Yemen, and Western Sahara.

peace agreements and guidance for mediators. In 2012, DPA will continue developing mediation and preventive diplomacy toolkits along with continued enhancements to the Peacemaker website.

Support to Resident Coordinators (RCs) and UN Country Teams (UNCTs)

DPA is working very closely with RCs and UNCTs on the ground. In 2011, DPA provided support to the UNCT in Colombia through the deployment of a Special Adviser on conflict prevention. This support will continue next year with an increased focus on mediation. In Thailand, DPA plans to work closely with the RC and the UNCT to assist the Truth for Reconciliation Commission of Thailand (TRCT) in analyzing root causes of the 2010 violence and to support various efforts aimed at reconciliation. In Bougainville, DPA also intends to work with the UNCT to help address remaining challenges in the implementation of the Bougainville Peace Agreement (BPA) following the August 2011 workshop held on the occasion of its 10th anniversary.

Gender and Mediation

In 2011, the Department included women, peace and security issues more systematically in its mediation support work and held increased consultations with women leaders during missions. As part of this, DPA increased the percentage of female experts to 35% of the mediation roster, half of which are gender experts. In 2011, a full-time gender expert was appointed for the Standby Team. Four guidance notes were finalized on addressing conflict-related sexual violence in mediation and peace processes.

In 2012, DPA will continue efforts to (i) produce and disseminate guidance on gender-related issues in mediation and peace processes; (ii) develop gender mediation training for DPA staff, select female mediators and mediation support staff; and (iii) increase the number of female mediators on the mediation roster, and (iv) provide training and support as needed. In the area of peacemaking, DPA and the UN Development Fund for Women (UNIFEM) will continue working together on the three-year *Joint Strategy on Gender and Mediation*.

Access to knowledge, expertise and training

Having launched its intranet in late 2010, DPA has a new platform for information-sharing and guidance, lessons-learned and best practice and a conduit for communication and information between UN Headquarters and DPA field missions.

In 2012, DPA will focus on enhancing DPA's knowledge-sharing mechanisms through regular lessons learned exercises, establishment of knowledge networks and online communities of practice, piloting a Best Practice Officer to be shared among DPA missions in a particular region and developing a community of practice on mediation.

Partnerships

The *Joint UNDP-DPA Programme on Building National Capacities for Conflict Prevention* (known as the "Joint Programme") continues to focus on a number of strategic initiatives to assist national actors in addressing political tensions and build infrastructures for peace. DPA also co-chairs, alongside UNDP, the *Inter-Agency Framework Team for Preventive Action* (known as the "Framework Team"), which supports UN Resident Coordinators and UN Country Teams in developing integrated conflict prevention strategies.

Expected Accomplishments

- ▶ Strengthened DPA's capacity to assist in the development of prevention, mediation and peacebuilding strategies;
- ▶ Developed additional operational tools and mechanism developed for preventive diplomacy;
- ▶ Distilled lessons learned from crisis response engagements and identified best practices;
- ▶ Developed more effective knowledge-sharing mechanisms;
- ▶ Conducted gender trainings on Women, Peace and Security issues for DPA staff at Headquarters and in the field and for mediators and their teams; and
- ▶ DPA staff trained in results-based reporting.

OUTCOME AREA 4

FOR 2012-2013
\$6,6 MILLION

FOR 2012
\$3,2 MILLION

Outcome Area 5: Enhanced capacity of stakeholders requesting electoral assistance to strengthen their democratic processes and prevent electoral-related violence

While elections are technical processes, they are fundamentally political events.

Support to the electoral process in Lesotho

After a dispute over the 2007 general elections that resulted in post-electoral violence in Lesotho, a two-year mediation process spearheaded by local and regional organizations and supported by the UN through a Collaborative Capacity Advisor, to resolve complaints and forge agreement between the conflicting parties ensued. Alongside this effort, EAD deployed an electoral expert in 2011 to advise the opposing parties on electoral reform and build consensus. The combined efforts of support for collaboration between the political parties and electoral assistance were critical in bringing the parties together and building confidence in the overall electoral process. This, in turn, led to agreements on electoral reforms and set the stage for what is hoped to be peaceful and credible elections in 2012.

The total extra-budgetary funds used in 2011 is \$40,000

As such, the concept of electoral support has progressively expanded from activities providing purely technical assistance, to one that looks more broadly at elections as political events that entail building broad trust and confidence in the overall process and respect for the outcome. Moreover, electoral violence is essentially political violence, making it critical to address its causes.

This concept requires making use of not only experts providing guidance on technical issues, but also preventive diplomatic action. The Under-Secretary-General for Po-

litical Affairs is the focal point for electoral assistance in the UN system and is, at the same time, able to draw on the good offices of the Secretary-General and leverage both the geographical positioning of field offices and relationships with regional organizations. DPA tailors its efforts to the individual context and prioritizes national ownership, while promoting inclusiveness, particularly of women and civil society, to help produce elections that lead to peace and stability rather than conflict and war. In addition, DPA is encouraging both the United Nations and the wider electoral assistance community to place sustainability and cost-effectiveness at the heart of electoral assistance policy and practice.

In 2012, DPA's Electoral Assistance Division (EAD) increased its capacity to rapidly deploy election experts and missions in various assistance and conflict prevention areas, thanks to rapid response funding. It is also necessary to provide electoral assistance to Member States beyond the immediate crisis phase and place it on a more long-term footing.¹²

Key activities in 2011

Emergency funding used for electoral support to MENA

DPA's electoral team responded rapidly to the political tumult that swept the MENA region and this support will continue in 2012. In March 2011, a High-Level Electoral Needs Assessment Mission was deployed to Tunisia to begin preparations for assistance to Constituent Assembly elections planned for October 2011. Electoral expertise was made available to Egyptian authorities from the early stages of the transition and the UN is on hand to support the electoral process in the country if requested by the authorities.

In Libya, experts on electoral assistance were involved from the beginning in pre-planning activities and considerable preparatory work was done (through the recruitment of temporary staff and consultants). In

¹² The Electoral Assistance Trust Fund (EOA) continues to be a channel for specific long-term programming.

Gender and elections

One of DPA's main priorities in electoral assistance is promoting inclusiveness in the electoral process with specific focus on women. This includes, among others, advocating for women's inclusion in electoral management bodies and mobilization of women's participation in elections. To ensure gender mainstreaming, the UN is paying particular attention to gender-related issues during every electoral assessment mission and by reviewing and revising its own *Guidelines on Enhancing the Role of Women in Post-Conflict Electoral Process*. These Guidelines will be revised in light of lessons learned in the past several years as well as the requirement of Security Council Resolution on women, peace and security, and will be published in 2012.

2011, electoral experts met with members of the NTC and political leaders, youth groups, civil society and minority group representatives and members of the international community on the ground.

In Yemen, EAD has been directly supporting the Secretary-General's Special Advisor, Mr. Jamal Benomar, and traveled with him in April to meet with leaders and prepare for likely electoral events that may emerge from a negotiated political settlement of the conflict. Continued trips and electoral technical assistance might be needed in Yemen as a settlement is reached.

In 2011, all MENA activities linked to electoral assistance were funded by extra-budgetary resources. As of September 2011, \$530,000 had been programmed.

Technical electoral assistance

As in past years, DPA continued to provide technical electoral assistance to more than 50 countries, conducting assessment missions to define the parameters for assistance, providing advice to electoral commissions, and reviewing ongoing activities. Some examples include support to Guinea, Kyrgyzstan, Honduras, Turkmenistan, Kenya, and Côte d'Ivoire.

Electoral assistance involving good offices and mediation

Several election-related good offices missions were deployed in 2011 to help increase confidence in election processes while miti-

gating the risk of election-related violence. For example, during elections in Guinea, the UN provided political and diplomatic support within the framework of the International Contact Group on Guinea, co-chaired by the AU and ECOWAS. EAD's Deputy-Director was deployed during both rounds of voting, and worked closely with UNOWA's SRSG, Mr. Said Djinnit, to encourage a largely peaceful process. In Benin, EAD deployed experts within the UNDP-DPA joint programme on conflict prevention and provided technical advice on the electoral process. These efforts, coupled with SRSG Djinnit's engagement with political actors, helped defuse tensions and ensure peaceful elections.

The Department is also working to prepare guidance on the basic causes of election-

Support to Sudan electoral activities

On 9 July 2011, the Republic of South Sudan became independent after a peaceful and accepted referendum earlier in the year. The largely peaceful conduct of this referendum was a testament to the efforts deployed by the United Nations (especially the UN Mission in Sudan (UNMIS, UNDP and DPA)) and its regional and international partners, to prevent negative outcomes through preventive diplomacy, mediation, and technical assistance. On the technical front, efforts were deployed to print and distribute more than 10 million ballots and train staff in 5,000 polling stations. On the political/preventive side, regular visits of the Chair of the UN Secretary General's on the Southern Sudan Referendum, supported by DPA, helped monitor the process and offer good offices to address any political discord during the referendum. The use of diplomacy by the Secretary-General good offices assisted in helping to mitigate potential conflict.

The overall cost for DPA to assist the Sudan referendum in 2010 and 2011 was \$600,000



Sudan referendum, January 2011. UN PHOTO

related violence and developing tools to prevent and respond to election-related violence. A course on this subject is currently being developed with the United Nations Staff College (UNSC) in Turin. In addition, closer relationships continued to be developed between EAD and MSU as well as other parts of the UN system involved in mediation and conflict prevention.

Improving electoral assistance

Electoral assistance is still high on the agenda of Member States. In 2011, DPA, in concert with other UN actors working in the area of electoral assistance and at the request of Member States, produced the Secretary General's bi-annual report on "enhancing the effectiveness of elections and promotion of democratization."¹³ This report included

¹³ Report of the Secretary-General, "Strengthening the role of the United Nations in enhancing the effectiveness of the principle of periodic and genuine elections and the promotion of democra-

a review and recommendations on the issues of UN coordination and cooperation with other organizations, electoral violence, gender mainstreaming and sustainability and, based on Member States guidance, will serve to guide electoral assistance activities over the next two years. In 2012, the interplay across UN entities will be further refined when DPA and other relevant UN actors revise the UN's electoral assistance policy.

Partnership

The revised *Note of Guidance on Electoral Assistance* between UNDP and DPA from September 2010, along with Secretary-General's Decision No. 2010/23, guide the close collaboration of DPA with other UN entities, particularly UNDP. In the MENA region specifically, cooperation includes ensuring that

ization," presented to the General Assembly in its 66th session.

Senior Electoral Advisors/Chief Technical Advisors deployed to a region report to the Resident Coordinator and consult regularly with DPA on guidance related to UN electoral policy and coherence and with UNDP and DPA on best practices. In addition, in that region, steps have been taken to ensure effective collaboration between the UN and non-UN actors. For example, in Egypt, a Memorandum of Understanding was signed among the UN, IFES¹⁴ and IIDEA¹⁵ to assist the electoral process.

Proposed Indicative Activities for 2012 and beyond

In 2012, demand for electoral support is expected to remain high with more than 65 electoral events foreseen throughout the world. EAD requested \$1,5 million (MENA included) to continue enhancing its rapid response capability through:

- ▶ Support to the MENA countries will remain high on the list of priorities;
- ▶ Deployment of approximately 20 electoral needs assessment, project review and technical advisory missions to help prepare countries for their electoral events;
- ▶ Deployment of 3-5 electoral missions assisting mediation efforts and 4-6 missions making use of good offices to support electoral assistance;
- ▶ Recruitment of highly specialized experts to conduct and prepare in-depth analyses of technical electoral issues;
- ▶ Development, in collaboration with UN partners in peacekeeping and development agencies, of revised guidelines on “Enhancing the Role of Women in Post-Conflict Electoral Processes” addressing issues such as electoral administration, civic and voter education, voter registration and political participation; and
- ▶ Revision of existing and development of additional UN electoral assistance policy to enhance integration, system-wide coherence, consistency, predictability and accountability in the delivery of electoral assistance.

Expected Accomplishments

- ▶ Continued support to MENA for analysis and technical assistance, as needed;
- ▶ Increased diplomatic action throughout the electoral process;
- ▶ Improved integration, coherence and consistency in electoral assistance across the UN system; and
- ▶ Enhanced role of women and improved inclusiveness in the political life of countries including an increase in the participation of women as voters, candidates, and electoral officials.

OUTCOME AREA 5

FOR 2012-2013
\$3,3 MILLION

FOR 2012
\$1,7 MILLION

¹⁴ International Foundation for Electoral Systems (IFES).

¹⁵ International Institute for Democracy and Electoral Assistance (IIDEA).

Annex I: DPA Strategic Priorities for 2011-2013

Coordinating the UN's crisis response to prevent armed conflict

DPA's overall mandate is to prevent, manage and resolve armed conflict. This mandate derives from the United Nations Charter and is reflected in DPA's approved Strategic Framework (2012-13)¹⁶.

The UN family contributes in a number of ways to enhancing international, regional, national and local capacities for conflict prevention and resolution. DPA's comparative advantage lies in its expertise in diplomacy and mediation, buttressed by thorough political analysis, a capacity to respond swiftly to stem crises, as well as to address the underlying drivers of conflict. Where armed conflicts are placed on the agenda of the Security Council, DPA is often the lead-Department tasked with ensuring a coordinated response. In settings where the Security Council is not formally involved, a UN crisis response under the "good offices" of the Secretary-General is directly supported by DPA, using its range of expertise to build a strategy with other key actors. The Department's ability to help Member States manage elections successfully is an increasingly important element of its work in conflict prevention.

Strengthening DPA's partnerships and leadership

At a time when the global economic crisis has placed new pressures on resources, re-defining our partnerships is essential. Efforts to achieve greater coherence and cooperation across the UN system to prevent conflict

as well as in post-conflict settings hold great promise. These efforts are particularly valuable in situations where the United Nations has no peacekeeping or political mission on the ground.

DPA is responsible for providing effective and strategic political leadership on behalf of the Secretary-General to the wider United Nations system. Over the last year, DPA convened the Executive Committee on Peace and Security (ECPS) at a number of critical junctures, and chaired or co-chaired over twenty Inter Agency Task Forces (IATFs) designed to implement a cohesive UN approach to crisis situations. DPA has strengthened its working relations with the Peacebuilding Commission (PBC) as well as the Peacebuilding Support Office (PBSO). Our critical partnership with UNDP in conflict prevention has broadened in scope, and we are working much more closely with RCs and UNCTs on the ground. Similarly, DPA plays a key role in the UN's growing partnership with the World Bank in fragile and conflict-affected states. These cross-institutional links are delivering concrete results in a range of different contexts.

The Department is also committed to doing more to support and encourage the role of women in conflict prevention. Security Council resolution 1325 on women and peace and security reaffirmed the important role of women in the prevention and resolution of conflicts and in peacebuilding. Yet, ten years later, women are still under-represented. DPA is determined to change that in view of the activities described earlier in the various Outcome Areas.

Many of the proposed activities deriving from the five Strategic Priorities outlined in this Appeal contribute to the implementa-

¹⁶ Strategic Framework for the period 2012-13 (A/65/6).

tion of key recommendations in the Secretary General's Report on Peacebuilding in the Immediate Aftermath of Conflict and its update, the Secretary-General's Report on Peacebuilding in the Aftermath of Conflict,¹⁷ presented on 16 July 2010. In addition, they are related to several of the action areas outlined in the Secretary-General's report on preventive diplomacy and in the *Civilian capacity in the aftermath of conflict*.¹⁸

Moving Ahead on Five Strategic Priorities

The five Strategic Priorities are derived from our overall mandate and each of them is rooted in additional and specific mandates from intergovernmental bodies.¹⁹

The Five Strategic Priorities

Responding in a timely manner to situations of potential violent conflict

Early and effective response to violent conflict depends critically on our ability to mobilize and deploy rapidly. Due in large part to voluntary contributions, DPA is now configured to support mediation initiatives worldwide, whether undertaken by the UN, Member States, Regional and sub-Regional Organizations or other relevant partners. DPA can quickly deploy a range of technical, advisory, financial and logistical support to current and prospective peace processes. MSU has been strengthened by the Standby Team, ready to be moved into negotiation settings around the world at short notice.

If past years are any guide, the demand for DPA support to UN and non-UN prevention, mediation, facilitation and dialogue efforts

¹⁷ (A/63/881-S/2009/304), (A/64/866*- S/2010/386) and (S/PRST/2010/20).

¹⁸ Independent Report of the Senior Advisory Group *Civilian capacity in the aftermath of conflict*, 11 May 2011.

¹⁹ Report of the Secretary-General on enhancing mediation and its support activities (S/2009/189); Report of the Secretary-General on Women's participation in peacebuilding (A/65/354-S/2010/466); Report of the Secretary-General, Estimates in respect of special political missions, good offices and other political initiatives authorized by the General Assembly and/or the Security Council (A/64/349); Report of the Secretary-General on the Cooperation between the United Nations and regional and other organizations (A/65/382 and S/2010/490); General Assembly Resolution 46/137 of 1991 on Enhancing the effectiveness of the principle of periodic and genuine elections.

will remain high through 2013. Unfortunately, there are not sufficient resources available to DPA through the Regular Budget to enable the necessary emergency response or to cover mission start-up activities.

Providing effective and timely support to political missions in the field

Special political missions (SPMs) in the field are a vital instrument in UN efforts to prevent and resolve deadly conflicts around the world. The 13 field missions led by DPA cover a wide geographic scope and range of sizes, configurations, durations, as well as an increasing number of mandates. They include multifaceted field operations in complex environments (Iraq and Somalia), four peacebuilding offices (Burundi, Central African Republic, Guinea-Bissau, and Sierra Leone), three regional offices (West Africa, Central Asia, and Central Africa), "good offices" of the Secretary-General (Lebanon, Middle East, Nepal and Cyprus) and the newly-established UNSMIL (Libya). The common thread of these missions is that at the root of conflict lay political problems requiring political solutions, and DPA-led field missions are routinely requested by host or partner Governments to assist with national and/or local-level initiatives to foster dialogue, build capacity, ease tension and prevent violence.

The problems DPA field-based political missions face, largely relate to the fact that these missions and their support are funded through the regular budget. 2012 may bring improvements in that regard. Following a request from the General Assembly,²⁰ the Secretary-General will soon present a report to make the case for necessary changes in how these missions are budgeted and back-stopped. The objective of the reform is to ensure that operations, which require fast deployments and the flexibility to adapt to changing realities on the ground, are no longer hamstrung by biennial budget procedures. Field-based political missions should enjoy all of the support that field operations require, similar to the arrangements for the peacekeeping missions.

²⁰ General Assembly Resolutions A/65/PV.73 of 24 December 2010.

Enhancing the capacity of Regional and sub-Regional Organizations

Regional and sub-Regional Organizations have a unique influence on, leverage over, and access to hotspots in their region. DPA supports a growing range of activities aimed at deepening our partnerships with these organizations, as well as building their capacity to undertake prevention, mediation, and electoral assistance. DPA interacts with them both on behalf of the larger UN system, and in its own right as a key operational actor in the mediation and electoral fields. Relying on these partnerships, DPA is increasingly well-placed to devise comprehensive, multi-actor preventive strategies. Extra-budgetary resources have helped DPA to take on specific programmatic activities to strengthen partnerships with Regional and sub-Regional Organizations in ways that would not be possible through the limited resources available in the Regular Budget.

Strengthening DPA's capacity and expertise to address peace and security challenges more effectively

In order to fully realize the UN's full potential for prevention, mediation and resolution of conflicts, DPA needs to continue enhancing its expertise, tools, operational support structures, and management systems. It needs to take stock of its experiences, both

positive and negative, and distil lessons from past engagements in order to strengthen best practice, build training capacity, improve planning and better communicate the case for further investments in this area. All of this work is buttressed by a reinforced capacity within DPA, especially at Headquarters through the PMD, which produces a multiplier effect on the work described in the other Outcome Areas.

Enhancing the capacity of stakeholders requesting electoral assistance to strengthen their democratic processes and prevent election-related violence

Elections embody democracy; successfully conducted, elections can contribute to both national and regional stability. But recent experience has shown that electoral cycles can also be sensitive moments, particularly in a post-conflict setting. DPA's electoral support is designed to manage risk and maximize the potential for healthy elections that put peace on stronger footing. Through innovative mechanisms such as high-level electoral missions (e.g. Sudan), the Department aims to increase confidence in electoral processes, and pre-deploy mechanisms for the peaceful resolution of any dispute. DPA's EAD is seeking, therefore, to maintain its robust rapid response capability in order to continue providing swift technical support.

Annex II: Financial Data

In carrying out its mandate, DPA tries to fully exhaust all resources already at its disposal before seeking voluntary contributions. Nevertheless, in light of additional mandates and growing demands placed on the department by Member States, voluntary contributions are critical to respond quickly to emerging needs.

Resources

The Regular Budget

The bulk of the costs of DPA, including core staffing and a small portion of its annual travel expenses, are covered by the Regular Budget (Section 3). For 2010-11, DPA's regular budget is \$83,1 million.²¹ Staffing continues to represent the largest component of its regular budget. Despite the increase in the number of posts following the 2008 strengthening proposal,²² regular budget funds are still not adequate to cover the requirements placed on the Department by Member States and others. Likewise, DPA's travel budget has failed to keep pace with the actual travel needs of the Department, severely impacting the department's ability to engage in activities critical to successful conflict prevention on the ground - including forging relations with UN country teams, and establishing entry points with government and civil society or developing partnerships with Regional and sub-Regional Organizations.

Voluntary Contributions

As of September 2011, \$6 million has been received out of the \$17,9 million requested for 2011; and \$4,5 million was received from

separate donor appeals for the MENA region and for Nepal.²³ As in previous years, on average, roughly half of the funding goes towards hiring of temporary staff and consultants providing expertise, knowledge and programme management experience to DPA's activities. The other half of the funds goes towards non-staff costs of efforts preventing conflict and mediating crises, especially travel, conferences and meetings, and training activities.

Improving the management of extra-budgetary resources

In 2011, the introduction of the Multi-Year Appeal, as a new vehicle for resource mobilization, signaled progress in several respects: (i) by increasing the predictability of funding (3 multi-year funding agreements were signed in the first half of 2011);²⁴ (ii) by increasing flexibility because of reduced earmarking (60% of the funds were earmarked in 2011 compared to 86% in 2010); (iii) by providing a more professional and strategic approach to fundraising; (iv) by increasing outreach and communications to donors. Over the last year, DPA maintained a constant dialogue with its main donors, starting with a Donor Conference in November 2010 and followed by 4 meetings of the Donor Group. Lastly, (v) by entering the final preparatory stage for the trust fund database with an initial roll-out of the software anticipated by the end of 2011. Increased capacity through extra-budgetary positions in the

²¹ Proposed Programme Budget for the Biennium 2012-13 (A/66/6 Sect. 3).

²² General Assembly Resolution 63/261 "Strengthening the Department of Political Affairs" (A/RES/62/251).

²³ See Separate Appeal "DPA's Assistance to the Middle East and North Africa until December 2011"-last version 6 July 2011; and separate project proposal on Nepal, dated 22 February 2011.

²⁴ DPA signed 3 multi-year funding agreements until 2013 with Australia, Belgium and Norway; Long-term partnerships are being explored with other Member States.

areas of project management and resource mobilization is necessary to further develop a results-based approach to fundraising and reporting. Administrative functions associated with the daily implementation of the Appeal are provided by DPA's Executive Office and partly funded by extra-budgetary contributions.

The Department has also substantially increased its efforts in communications and outreach, including through a more active public website and the launch in 2011 of an e-newsletter. This is an area of work that is increasingly dependant on voluntary funding. Improved capacity in the area of communications and outreach is necessary to enable donors to more easily and frequently see the impact of their contributions.

Monitoring and Evaluation

The Department has taken several steps to ensure its efforts are results-based. The Appeal is fully aligned with the Regular Budget Strategic Framework,²⁵ linking DPA's priority/outcome areas with proposed extra-budgetary activities. This provides a clear linkage between departmental priorities regardless of their funding source. This new approach also facilitates better monitoring of results and assessment of the overall impact of DPA in the field. By the end of 2011, DPA will have instituted a "Departmental Evaluation Policy and a two-year Evaluation Plan", involving both self-evaluation and utilizing opportunities for external evaluation. One such external assessment is a study being conducted by New York University in 2011 on "Assessing and Communicating the Impact of DPA's Conflict Prevention and Preventive Diplomacy."

Evaluation activities also contribute to enhancing DPA's effectiveness through the systematic implementation of key recommendations and findings to strengthen policies, practices and related decision-making processes. A summary of the Results Framework is available on page 29.

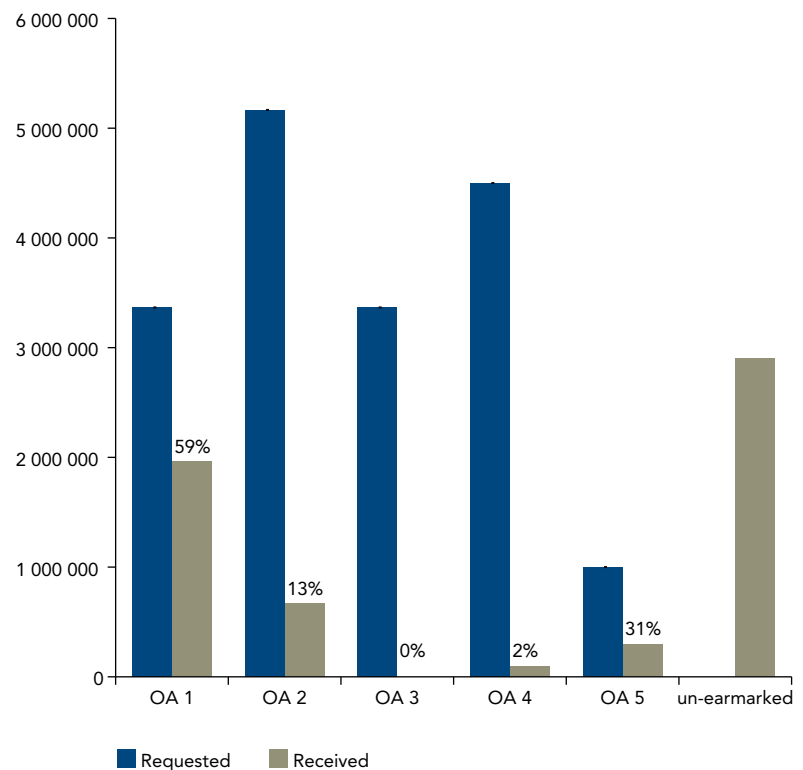
Reporting framework

The first results-based Annual Progress Report for the year 2010 was released in the spring of 2011 to provide accountability and transparency into the Department's work. This annual performance report provides data on total expenditures of the previous year. It also provides an interim update on the use of funds in the Appeal document for the forthcoming year.

Risks

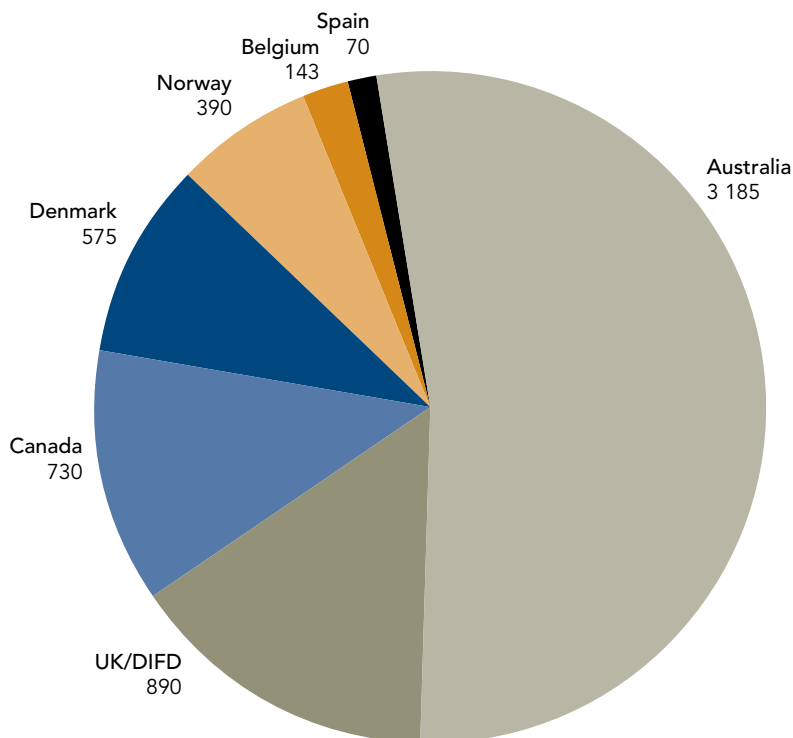
DPA's success is dependant upon adapting its activities to the evolving political context on the ground. These changes not only affect ongoing programs, but also add unexpected work over the course of the year. The current appeal cycle allows for flexibility, provided that donor funding is available early in the year and at least a portion of it is un-earmarked. DPA can face some administrative challenges, common to many organizations and Departments, which result in longer lead times to recruit staff and administer funds in a flexible autonomous manner.

Contributions requested versus received in 2011 by outcome area (with percentage received)



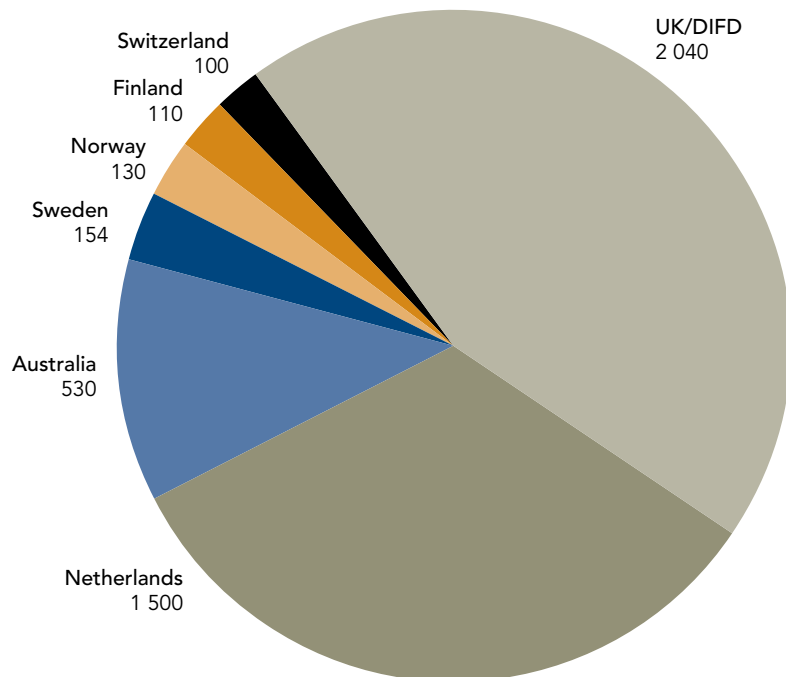
²⁵ Strategic Framework for the period 2012-2013 A/65/6).

Contributions and pledges received in 2011 for the Multi-Year Appeal *(thousands of US dollars)*



Donor	In US dollars
 Australia	3 185 000
 Belgium	143 000
 Canada	730 000
 Denmark	575 000
 Norway	390 000
 Spain	70 000
 UK/DIFD	890 000
Total	5 983 000

Contributions and pledges received for MENA and Nepal in 2011 *(thousands of US dollars)*



Donor	In US dollars
 Australia	530 000
 Finland	110 000
 Netherlands	1 500 000
 Norway	130 000
 Sweden	154 000
 Switzerland	100 000
 UK/DIFD	2 040 000
Total	4 564 000

Member States interested in receiving further information on the Multi-Year Appeal should contact Ms. Delphine Bost (bostd@un.org) or Ms. Elizabeth Leff (leffe@un.org).

For more information on DPA, please consult www.un.org/Depts/dpa/

Summary of the Results Framework

PRIORITY AREA 1

Prevention, Management and Resolution of Conflicts (Link to Strategic Framework Programme 2 / Sub-programme 1)

OUTCOME AREA 1

Responding in a timely manner to situations of potential violent conflict

Output

Improved capacity of all stakeholders (UNCTs, Member States, Regional Organizations) to identify, develop and implement actions to prevent potential violent conflict or to resolve ongoing conflict

Indicative Activities

- Conducting fact-finding or assessment missions to analyze a problem and provide inputs to a decision on the best type of UN's system involvement in a particular situation
- In consultation with all stakeholders, identifying non-violent means of resolving tensions and preventing the emergence of a violent conflict or resolving a conflict
- As appropriate, organizing or supporting rapid action, including through mediation, when a political or security crisis arises
- Providing political guidance, support and expertise for UN good offices efforts, mediation and negotiations
- Providing mediation support to efforts outside the UN to facilitate or negotiate peace processes

OUTCOME AREA 2

Providing effective and timely support to political missions in the field

Output

Increased efficiency of DPA field activities through the use of common resources and headquarters support

Indicative Activities

- Providing strategic guidance and support to field missions on prevention, managing and resolution of conflicts, including through provision of mediation advice and support (e.g. through the standby team of mediation experts)
- Providing advice and guidance to field missions on analyzing first-hand information to better assess a situation and establish early warning mechanisms
- Facilitating of constructive regional and national dialogues through DPA Regional offices and field missions
- Providing Headquarters support to field missions on integration among UN actors
- Enhancing collaboration with UN Country Teams on conflict prevention, peacebuilding missions and mission transitions in general
- Providing capacity building for local and regional actors on mediation support
- Leading on or supporting other thematic activities in support of missions mandates and in response to requests by Member States
- Developing and managing records of best practices and lessons learned on conflict prevention and resolution experiences and practices through briefings and de-briefings of senior field staff and compilation of relevant documents

OUTCOME AREA 3

Enhancing the capacity of Regional and Sub-Regional Organizations

Output

Enhanced cooperation, coordination and mutual support between the UN and regional and sub-Regional Organizations on conflict analysis, prevention and resolution

Indicative Activities

- Continuing exchange of information and dialogue through institutionalized channels on potential and ongoing conflicts
- Strengthening regional early warning systems by improving the timeliness and the level of information sharing and dialogue through institutionalized channels
- Identifying respective comparative advantages of the UN and regional/sub-Regional Organizations in preventing, managing or resolving violent conflicts as a basis for a coordinated decision on the best format of engagement in conflict prevention or conflict resolution activities in a specific situation
- Providing UN coherent advice and expertise support to regional and sub-regional organizations as the first-line responders in national and regional preventive and peacemaking initiatives
- Organizing joint trainings on peace and security issues with regional and sub-regional organizations

OUTCOME AREA 4

Strengthening DPA's capacity and expertise to address peace and security challenges more effectively

Output

Department's skills and capacities on mediation, preventive action and peacebuilding improved, acquired and applied in the field and at Headquarters

Indicative Activities

- Providing substantive support and guidance on conflict prevention and peace consolidation issues to policy-making organs
- Developing effective mediation and conflict prevention strategies for stakeholders
- Advising, and promoting the use of conflict prevention tools, mechanisms and best-practices
- Advocating for adequate representation of women in all stages of conflict prevention and resolution
- Providing capacity-building and training for stakeholders on preventive diplomacy
- Developing and maintaining knowledge-sharing mechanisms and tool kits on all aspects or preventive diplomacy (e.g. DPA Intranet, UN Peacemaker website tool, online communities of practice, lessons-learned exercises, etc.)

PRIORITY AREA 2

Electoral Assistance (Link to Strategic Framework Programme 2 / Sub-programme 2)

OUTCOME AREA 5

Enhancing capacity of stakeholders requesting electoral assistance to strengthen their democratic processes and prevent election-related violence

Output A

Election-related violence is prevented

Indicative Activities

- Strategies are put in place in a timely manner to predict and reduce the threat of election related violence
- Guidance and support provided in the context of peace negotiations, peacekeeping and peacebuilding missions

Output B

Stakeholders trained with adequate knowledge and skills to increase the number of elections in conformity with international standards

Indicative Activities

- Expertise, trainings provided to regional and sub-regional organizations
- Improve the capacities of national electoral stakeholders to conduct elections and related activities
- Ensure coherence and quality in the delivery of UN electoral assistance



United Nations Department of Political Affairs

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