



**Implementation Of The Declaration on  
“Enhancing UN-AU Cooperation:  
Framework for the Ten Year-Capacity  
Building Programme for the  
African Union (TYCBP)”**

**First Triennial Review  
(2006-2009)**



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# List of Acronyms

ACP	African Caribbean and Pacific Organization
AfDB	African Development Bank
AMCEN	African Ministerial Conference on the Environment
AMIS	African Union Peacekeeping Mission in Sudan
AMISCOM	African Union Peacekeeping Mission in Somalia
AMSCOW	African Ministerial Council on Water
APRAPKE	Regional Action Plan on Knowledge Economy
APRM	African Peer Review Mechanism
AUC	African Union Commission
AUPSC	African Union Peace and Security Council
AUPST	African Union Peacekeeping Support Team
CAADP	Comprehensive African Agricultural Development Programme
CEN-SAD	Communauté des Etats Sahélo-Sahariens
COMESA	Common Market for East and Southern Africa
DESA	Department of Economic and Social Affairs
DPA	Department of Political Affairs
DPI	Department of Public Information
DPKO	Department of Peace keeping Operations
EAC	East African Community
ECCAS	Economic Community of Central Africa States
EU	European Union
FAO	Food and Agriculture Organization
GA	General Assembly
IAEA	International Atomic Energy Agency
IGAD	Inter Governmental Authority on Development
IGO	Inter-goverantal Organization
ILO	International Labor Organization
IOM	International Organization for Migration
ITC	International Tripanosomiasis Centre for Africa
ITU	International Telecommunication Office
JIU	Joint Inspection Unit
MDGs	Millennium Development Goals
MEA	Multi-Lateral Environment Facility
NEPAD	New Partnership for Africa's Development
NPCA	NEPAD Planning and Coordination Agency
OAU	Organization of African Unity
OCHA	Office for the Coordination of Humanitarian Assistance
ODSG	Office of the Deputy Secretary General
OHCHR	Office of the High Commissioner for Human Rights
OIOS	Office of Internal Oversight Services

OSAA	Office of the Special Adviser on Africa
PBSO	Peace Building Support Office
RC M	Regional Coordination Mechanism
REC	Regional Economic Community
RSF	Regional Stand-by Force
SADC	Southern African Development Community
SC	Security Council
SRO	Sub Regional Office
TYCBP	Ten Year Capacity Building Programme
UMA	Union du Magreb Arab
UNAMID	African Union-United Nations Hybrid Operation in Darfur
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNEAD	United Nations Elections Assistance Division
UNEP	United Nations Environment Programme
UNFPA	United Nations Fund for Population Activities
UNHCR	United Nations High Commission for Refugees
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNIFEM	United Nations Development Fund for Women
UNLO-AU	United Nations Liaison Office with the African Union
UNPT	United Nations Planning Team
UNESCO	United Nations Educational, Scientific and Culture Organization
UPU	Universal Postal Union
WFP	World Food Programme
WHO	World Health Organization
WIPO	World Intellectual Property Organization
WMO	World Meteorological Organization
WTO	World Trade Organization

# Executive Summary

1. The Declaration on **"Enhancing UN-AU Cooperation: Framework for the Ten Year Capacity Building Programme for the AU" (TYCBP)** was signed in November 2006 by the UN Secretary General and the Chairperson of the AU Commission. The Declaration states that "...the evolving Framework should be conceived as the UN overall strategic framework for co-operation with the AU". Its main objective was to "...enhance the capacity of the AUC and the African sub-regional organizations to act as effective UN partners in addressing the challenges to human security in Africa". Although peace and security would be given priority initially, special emphasis would nonetheless be placed on enhancing the AU's capacity in the following six areas: institution building, human resources development and financial management; peace and security; human rights; political, legal and electoral matters; and social, economic and cultural and human development.

2. The report begins with a historical background showing the way the UN's engagement with the AU has evolved over time, and how, through various General Assembly and Security Council resolutions as well as Secretary General Bulletins and other management instructions, the UN has ensured that a robust response is provided to Africa's need for support in its peace, security, governance and development agendas.

3. Initially, this response was in respect of NEPAD programmes, but after the signing of the Declaration, provisions were made for this support to be extended to the TYCBP of the AU. The RCM, which had been striving for some years to have the interventions of the various UN agencies, funds and programmes coordinate their activities so as to be able to 'deliver as one', decided at its 7<sup>th</sup> session that it would ensure that it serves as the mechanism through which the TYCBP would be implemented.

4. Resource support was provided in the Programme Budget, Section 11 of Programme 9 of the biennial programme plan and priorities. Substantial allocations were made in support of the need for coordination of global advocacy of, and support for NEPAD; regional coordination of, and support for NEPAD; public information and awareness activities in support of NEPAD. Responsibility for global advocacy was assigned to OSAA, the regional part of the programme went to ECA, while DPI was made responsible for the public information part of the mandate. More than 80% of the resource allocations went to OSAA and DPI, and were expressly meant for support to NEPAD, not the AU or the RECs.

5. In reviewing the UN's system-wide initiatives in capacity building in meeting the objectives of AUC, NEPAD and the RECs, the report establishes that overall, the individual support of the Departments, Offices, Programmes and Organisations of the UN to African regional organizations generally, has indeed been robust. However, much of this support was not necessarily conceived within the context of the TYCBP, nor was it intended to address its needs, or be directed at meeting its objectives. Some of the activities undertaken were a continuation of

actions initiated before the coming into being of the TYCBP and so were not designed to be of direct relevance to it. Their direct contribution to the implementation of the TYCBP can therefore be said to be limited, in addition to being unplanned and uncoordinated in line with the spirit of the TYCBP.

6. An examination of the RCM and its nine clusters and fifteen sub-clusters establishes that since 2006, they have grown in membership and stature, with an increasingly high level of representation of the participating organizations. In addition, the cluster system has succeeded in increasing consultation and interaction within the UN system and between the UN and the partner organizations. It has helped to underscore the need for relevance, focus and effectiveness and has improved communications between stakeholders and among them. Increasingly, clusters have been working towards developing business plans and joint activities and projects.

7. Through the RCM and its clusters and sub-clusters, much has been done to support Africa and its regional and sub-regional institutions in their peace, security, human rights, governance and development efforts. Substantial financial and material resources have been committed; actions have been undertaken to strengthen institutional and human capacities; advocacy with the international community in support of Africa's programmes and priorities has been intensified; assistance has been provided for strengthening policy formulation; and efforts have been made to improve coordination of actions for greater impact and effectiveness.

8. In spite of all this however, there was considerable lack of satisfaction among stakeholders with the quality of the results so far achieved, especially with actions purportedly in support of the TYCBP, and with the workings of the arrangements put in place to achieve them. The consensus was that tremendous difficulties were being encountered in meeting the objectives of the TYCBP, and that the RCM, through the work of its clusters and sub-clusters, needed to be made to function more effectively in support of it.

9. In the course of the review, extensive consultations were undertaken with the stakeholders, including the AUC, the RECs, the NPCA, ECA, the relevant offices and programmes of the UN at New York as well as members of clusters in Addis Ababa. From these, it transpired that there were difficulties surrounding the understanding of what constitutes capacity building, with issues of ownership and leadership, with the RCM and its Secretariat, and with coordination, information dissemination and planning.

10. Concerning capacity building, and in the absence of a common understanding of the term, the report volunteers a working definition<sup>1</sup> which was subsequently found to be acceptable for the purposes of the TYCBP, by the Ad hoc Experts Group Meeting in November 2010.

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1. 'As a working definition, capacity building may be described as entailing those actions that invest in an organization, the ability to formulate, plan, manage and implement policies and programmes towards the full attainment of that organisation's objectives and goals. This would require the creation within the organization, of a critical mass of skills, knowledge and expertise and the availability of the requisite financial resources and organizational instruments, processes and mechanisms, all interacting in ways that conduce to effectiveness in the formulation and prosecution of policy, and success in the implementation of plans and programmes.'



11. By all accounts, the UN system in Africa has contributed significantly to the capacity building needs of the region through its various interventions: training and staff development, provision of financial support, advocacy for partnerships and support, assistance with goal-setting and consensus-building, etc. Even seemingly modest provisions of assistance, such as a financial contribution to enable an organization prepare a report, or convene an experts group, or a policy organ meeting, does something to strengthen that organisation's capacity.

12. All the beneficiary institutions admit suffering from capacity limitations. They all complain of staff shortages, financial constraints, inadequate support structures and mechanisms, etc. They also all admit that the benefits derived from the TYCBP by way of actual contributions to capacity building for their institutions, have been limited, although they recognize the tremendous potentialities of such an initiative in helping them solve their capacity problems. They therefore welcome any initiative designed to re-position and re-focus the TYCBP towards more concrete and beneficial outcomes.

13. The point was made that, the partner organisations, should not be expected to identify for the beneficiary institutions, what their capacity building needs are, although they could be called upon to assist in the needs assessment exercise. It would be up to the beneficiary institutions themselves to define the particular areas of need to which the UN organizations, agencies, funds and programmes would be expected to respond.

14. Another area of concern was with weaknesses in the demonstration by the beneficiary institutions of ownership and leadership. There is almost unanimous agreement that they have not displayed much ownership of the TYCBP and its processes, and that this has contributed to their delivery inadequacies. With stronger show of ownership, leadership would have been more easily assumed. And with stronger leadership, the institutions would have been better placed to more clearly articulate their needs and define a clearer role for the UN system, in meeting them.

15. Then there is the problem of coordination within clusters, between clusters and at the RCM apex. There was general agreement that improved coordination among participating UN entities, as well as at the AUC and the RECs, and between all these organisations is still work in progress.

16. Information about the TYCBP was found to be very weak, generally among all the stakeholder organizations, but particularly so within the beneficiary institutions, thus reducing their chances of benefiting fully from the tremendous resource support they could derive from it.

17. Another concern of stakeholders had to do with the issue of planning. Activities of cluster members are not the outcome of joint planning of programmes. All clusters and sub-clusters are aware of this shortcoming and have taken steps to redress it.

18. The view was unanimous, that secretariat support to the RCM and its clusters and sub-clusters needs significant strengthening to enable the secretariat effectively perform its execu-

tive duties. This would entail investing it with the capacity to convene and service meetings not only of the RCM, but also of each of the clusters and sub-clusters. It would also have to be enabled to provide strategic leadership and guidance, monitor the work of the entire system and undertake all the necessary follow-up activities. It would be at this strengthened secretariat that coordination of work across the entire system would be undertaken, and where much of the responsibility for mobilizing resources for the TYCBP and its implementation mechanisms would lie. The new secretariat would also be expected to prepare periodic reports for the RCM. All participating agencies, organizations, offices and programmes would be required to contribute towards meeting its resource requirements.

19. It was the almost unanimous view that the current distribution of UN regular budget resources was not commensurate with the responsibilities, distribution of tasks and performance of work by the three offices – OSAA, DPI and ECA - on a day-to-day basis, in support of the AUC, NEPAD, the RECs and the TYCBP. All the beneficiary institutions stated that within the context of the TYCBP, their closest contact with the UN, outside of their cluster activities, was through the ECA. The beneficiary institutions found it difficult to show how the funded activities of OSAA and DPI under Section 11 of the Programme Budget had contributed in adding value to their work or in helping them build capacity. There is need for resources set aside to serve the beneficiaries, to be brought closer to them.

20. A questionnaire survey was conducted among 37 stakeholder organizations to aid the review. It sought to solicit views and opinions on various aspects of the implementation of the TYCBP among those involved in the processes and mechanisms laid down for that purpose. Three main areas were targeted: information and knowledge about the TYCBP and the actual and perceived roles and responsibilities of the concerned institutions; opinions regarding the effectiveness of the TYCBP, the extent to which its objectives have been met, and problems and challenges encountered; and the impact and effectiveness of the mechanisms put in place for its implementation, i.e. the RCM, its clusters and sub-clusters. The returns from 43 percent of those surveyed confirm the findings and conclusions derived from other aspects of the review.

21. Based on all of the foregoing, the report ends with a set of conclusions and recommendations which were exhaustively examined by the Ad hoc Expert Group Meeting and were recommended for adoption by the RCM, with minor changes and additions. The two sets of recommendation are attached to this Summary for ease of reference.

## A. Introduction, Terms of Reference and Methodology

### a. Introduction

1. In November 2006, the then-Secretary General of the UN, Kofi Annan and the then-Chairperson of the African Union Commission, Alpha Omar Konare, signed a Declaration on "Enhancing UN-AU Cooperation: Framework for the Ten-Year Capacity Building Programme for the AU"<sup>2</sup>. The Declaration set out to increase cooperation between the two organizations and to enhance UN system-wide engagement with the AU, its regional and sub-regional organizations and NEPAD, to meet the challenges of the African continent. The initial focus of the cooperation was to be on peace and security with particular emphasis on conflict prevention, mediation and good offices, peacekeeping and peace building. The overall objective of the Framework was to "enhance the capacity of the AU Commission and sub-regional organizations to act as effective UN partners in addressing the challenges to human security in Africa"<sup>3</sup>. It focused on six critical areas:

"peace and security (including crime prevention); assistance in institution building, and political and electoral matters; peacekeeping operations; governance, human rights and the rule of law; peace building, humanitarian response, recovery and food security; social, cultural and health issues; and the environment."<sup>4</sup>

2. Special emphasis was placed on building capacity in the following areas:

- a. institution building, human resources development and financial management;
- b. peace and security;
- c. human rights;
- d. political, legal and electoral matters;
- e. social, economic and cultural and human development
- f. food security and environmental protection.<sup>5</sup>

3. The Framework was seen as an "evolving" one with new programmes and projects as well as cooperation agreements being designed within the context provided. The point was made that "the evolving Framework should be conceived as the UN overall strategic framework for cooperation with the AU

4. The Declaration called for a review of the Framework every three years. The present exercise is undertaken in response to that call.

<sup>2</sup> Declaration on "Enhancing UN-AU Cooperation: Framework for the Ten-Year Capacity Building Programme for the AU", UN doc. A/61/630

<sup>3</sup> , *ibid.* para 3, p.1

<sup>4</sup> Declaration: Framework...*op. cit.* para 4, p.1

<sup>5</sup> *ibid.*, para 6, p.2

## b. Terms of Reference

5. The review was undertaken under the following terms of reference:

"To assess the extent to which the Framework's objectives of enhancing and strengthening the capacity of the AU Commission and African Sub-regional organizations to act as effective UN partners in meeting the challenges of human security in Africa, are being met.

6. To this end, the review was to:

- a. determine what progress has been achieved in assisting the AU Commission and the RECs in the build-up of capacity in the areas of peace and security; institution building; political affairs; peacekeeping operations; governance; human rights; peace building; humanitarian response, recovery and food security; social, cultural and health matters; and management of the environment;
- b. b) ascertain the extent to which the activities of the UN have been aligned to meet the needs of the AU Commission, NEPAD and the RECs;
- c. c) propose measures for ensuring full ownership of the Programme by the AU Commission, NEPAD and the RECs, and for further strengthening the partnership between them and the UN;
- d. d) make recommendations on actions to be taken to significantly strengthen the management, coordination and monitoring of, as well as the dissemination of information on, the implementation of the Programme."

Furthermore, it was to:

- a. "undertake a comprehensive review of the Programme as it relates to the development priorities expressed in the AU/NEPAD programme;
- b. b) ascertain the extent to which the roles and responsibilities of the beneficiaries (AUC/NPCA and RECs) and of the partners (UN system and organizations and AfDB) have been clearly defined and understood;
- c. c) review the major achievements of the programme vis-à-vis its intended objectives including the challenges encountered; d) review the role of the steering and implementing organs (UN and AU agencies and organization in the context of the RCM and its Clusters) in the implementation of the Programme..."

7. In November 2009, the 10<sup>th</sup> Session of the Regional Coordination Mechanism of UN Agencies and Organisations Working in Support of the African Union and its NEPAD Programme considered the up-coming review as an excellent opportunity to popularize the TYCBP throughout the UN system, at the AU Commission and NEPAD Agency as well as among the RECs. They called for the full involvement of all stakeholders in the exercise and for the beneficiaries - AUC, NEPAD the RECs - to take ownership and show leadership in the process.<sup>6</sup>

<sup>6</sup> See "Outcome Document of the 10<sup>th</sup> Session of the Regional Coordination Mechanism of UN Agencies and Organisations Working in Support of the African Union and its NEPAD Programme", Addis Ababa, Nov. 2009

## **c. Methodology**

8. This report was prepared, using desk studies, a review of relevant documentation, consultations with stakeholders and responses of a questionnaire survey. The findings, conclusions and recommendations stem from the wide range of data and information, views and opinions gathered in the process.

9. In the course of conducting the review, a number of face-to-face consultations were undertaken with most of the stakeholders at the AU Commission, including the office of the Deputy Chairperson, the Commissioners for Political Affairs, Social Affairs and Human Resources, Science and Technology; the Directorates of the Departments of Economic Affairs, Peace and Security, Rural Economy and Agriculture, Infrastructure and Energy; and the Secretariat of the Peace and Security Council. Meetings were also held with the RECs, and with the NEPAD Agency. Consultations were held with the cluster and sub-cluster coordinators at their meeting on 30<sup>th</sup> June 2010, as well as with the gender sub-cluster on 2 July 2010. A mission was undertaken to New York to consult with ODSG, DPA, OSAA, DESA, DPKO, DPI, OCHA and UNDP. Among the RECs, discussions were held with EAC, COMESA, SADC, ECCAS, IGAD, CEN-SAD and the NEPAD Agency in the margins of the AU Summit in Kampala, Uganda. At ECA, the views of a number of substantive Divisions were sought. In addition, questionnaires were fielded to all the stakeholders within the UN, at the AU Commission, among the RECs and at the NEPAD Planning and Coordinating Agency (NPCA).

## **B. Background**

### **UN Support to Regional Peace, Security and Development Programmes in Africa**

10. In 1986, the United Nations, for the first time, adopted a programme of assistance designed specifically for the Africa region - the United Nations Programme of Action for African Economic Recovery and Development (UNPAERD). This was followed some years later, by another Africa-specific programme - The United Nations New Agenda for the Development of Africa in the 1990s (UN-NADAF). Within the context of these programmes, cooperation agreements were reached between the UN and the Organisation of African Unity (OAU), the predecessor of the current African Union (AU). With the priority concerns of the Africa region at the time, the agreements concentrated more on cooperation in peace and security matters.

11. In November 2002, the UN General Assembly in its resolution 57/7, adopted an Africa-conceived new programme in replacement of the UN-NADAF - The New Partnership for Africa's Development (NEPAD) programme. It called upon the UN agencies, within their respective mandates, to "align their activities in Africa within the priorities of the New Partnership"...and

to "organize the activities of the United Nations system around clusters covering the priority areas of the New Partnership". It also "urged the United Nations system to work closely with the African Union and other regional and sub-regional intergovernmental organizations to ensure the implementation of the programmes and priorities of the New Partnership."<sup>7</sup>

12. In 2005, the UN General Assembly at its 60th session, adopted resolution A/RES/60/1 in which it approved, *inter alia*, the formulation and implementation of a ten-year capacity building plan for the African Union. Following a series of consultations between senior officials of the UN and the AU, the objectives and areas of focus of such a plan were elaborated in a Declaration which was signed in November 2006, by the Heads of both organizations. The Declaration, entitled, "**Enhancing UN-AU Cooperation: Framework for the Ten-Year Capacity Building Programme for the African Union**"<sup>8</sup> (TYCBP), was formulated, taking into consideration the expanded mandate of the African Union vis-à-vis that of its predecessor the Organisation of African Unity. It seeks to broaden the partnership in institutional strengthening and capacity building between the AU and the UN, to encompass activities that go beyond peace and security, and cover governance, conflict prevention, development and regional integration.

13. Initially, and at the request of the AU Commission Chairman, the TYCBP did continue its focus on peace and security, specifically the building of AU capacity for peacekeeping, including mission planning and management; training of civilian, police and military personnel; the development of early-warning systems; the development of coordination and communication networks, etc.<sup>9</sup>

14. Prior to the signing of the Declaration, the United Nations funds, programmes and agencies tended to work separately in delivering their programmes of assistance to the AU, the NEPAD Agency and the RECs. Their Regional Consultation Mechanism provided a forum for them to meet and exchange information on their respective activities on the continent. Since the Declaration however, they have all striven to work in concert, and in a coordinated and coherent manner, in providing assistance to these regional partners.

15. Mandated by GA res. 57/7, this Regional Consultation Mechanism was to be the means through which the United Nations system in Africa would better coordinate its activities and have them aligned with the priorities of the African Union, including its Regional Economic Communities (RECs) and NEPAD. Upon the recommendations of a UN High Level Panel on UN System-Wide Coherence,<sup>10</sup> it would serve as a vehicle to enhance coordination and coherence by increasingly engaging in joint planning and programming in order to "deliver as one" in response to the needs and priorities of its regional and sub-regional partners. In so doing, it was to organize itself in thematic clusters and sub-clusters to coordinate the delivery of assistance to NEPAD programmes initially. After the signing of the TYCBP however, and at the eighth session of the RCM in November 2007, it was agreed that "the Ten-Year Capacity Building Pro-

7 See UNGA res. 57/7, 20 Nov. 2002

8 Doc. A/61/630

9 See "Report of the Secretary General on United Nations Support of African Union Capacity Building", New York, 2006

10 See "Delivering as One: Report of the Secretary General's High Level Panel on UN System-Wide Coherence", New York, Nov. 2006

gramme for the AU...should serve as a framework for UN system-wide engagement with the AU." To this end, it was recommended that " ...clusters increase focus on, and align activities with" the TYCBP, taking into consideration "...the programmes and strategic plans of the AU Commission and the NEPAD Secretariat, relevant decisions of the AU and RECs as well as the outcomes of AU sectoral ministerial bodies"<sup>11</sup>. Accordingly, the RCM increased the number of its clusters from six in 2002, to seven in 2004 and nine in 2006, all in a bid to be more aligned to the programme priorities, first of NEPAD, and later the AUC and the RECs also, through the TYCBP, it being understood that in addition to its efforts to improve coordination in the normal activities of its members, viz: policy analysis, goal-setting, consensus building, advocacy, technical assistance, etc., the RCM would now also focus attention on the capacity building needs of these institutions.

## C. Objectives and Priorities of the AUC and its NEPAD Programme<sup>12</sup>

16. The African Union evolved out of the Organisation of African Unity whose original mandate was the total liberation and independence of the African continent. As this mandate was being fulfilled, and as new challenges emerged, the need was felt for the Organisation to focus attention on those issues that called for common actions towards a more stable and sustainable development of the continent. Accordingly, its focus on regional integration as a *sine qua non* of the region's survival and development, was further sharpened, and there emerged a stronger resolve for its member states to work in unison and solidarity in addressing the common development challenges which they faced.

17. With the numerous conflict situations raging throughout the region, the AU's main area of focus was on peace and security, through the conduct of peacekeeping operations in countries in conflict, and actions in furtherance of conflict prevention, peace building, post conflict reconstruction and development. It also pursued measures that promote political stability through good governance, the adoption of democratic practices and the observance of human rights.

18. In keeping with the Organisation's *raison d'être*, the AU also actively works towards improving the quality of life of the African people and their social and economic development. To this end, it has put in place a significant amount of programmes in the major areas that respond to the region's present-day development challenges: agriculture and rural development; human resources; science and technology; industrial development; infrastructure, water, energy and transport, etc. These together, constitute the corporate mandate for whose prosecution, the Organisation requires that capacity be built and enhanced.

<sup>11</sup> RCM-Africa Secretariat, "Delivering as One for Africa", Addis Ababa, 2009, op. cit. p.12

<sup>12</sup> See, AUC, Strategic Plan, 2007-2009; 2010-2012, Addis Ababa; UN-DPI, New Partnership for Africa's Development: Programme of Action, 2008, New York; AU/NEPAD African Action Plan 2010/2015: Advancing Regional and Continental Integration in Africa, Midrand, South Africa 2009

19. The AU recognizes that attaining its objectives at the regional level, depends on how effectively the ground has been prepared first at the country level, then – and equally as important – at the sub-regional level. It has therefore devolved responsibility for the pursuit of its objectives of integration and development at the sub-regional level, to its eight Regional Economic Communities (RECS),<sup>13</sup> which it considers as constituting the building blocks for the attainment of those objectives.

20. The New Partnership for Africa's Development, (NEPAD) seeks to address Africa's continued marginalization in a globalizing world, and help create "the conditions that will allow peace, security, democracy and good governance to flourish",<sup>14</sup> through collective actions at the sub-regional and regional levels and with the support of partners in the international community. Accordingly, it places emphasis on democracy and good governance as well as on measures that spur economic growth and prosperity for the African people. It has developed major programmes of action in infrastructure, agriculture, education, health and the environment, in the process, placing emphasis on private sector participation and the development of a strong entrepreneurial class to serve as an important engine of growth and development. It also seeks to enhance Africa's capacity to govern, initiate and sustain growth, and set and work towards the attainment of long term development goals.

21. Achieving the objectives which the AU and its NEPAD Programme have set for themselves, requires a strong compact with, and support from the international community, particularly in the area of capacity building. The TYCBP is a significant part of the UN's response to this need.

## **D. UN System-Wide Initiatives in Capacity Building for Meeting the Objectives of AUC, NEPAD and RECs**

### **a. Resource Support for the Regional Programmes**

22. It will be recalled that NEPAD came into being in 2001 as a distinct and separate entity from the African Union. In 2002, the UN General Assembly in its resolutions 57/7 and 57/300 provided a mandate for the UN to create its own internal structure to support the programme. That support came in the form of ST/SGB/2003/6 of April 2003, which created the Office of the Special Adviser on Africa (OSAA), whose functions were *inter alia*, to coordinate "global advocacy in support of NEPAD" as well as be the focal point for NEPAD at UN Headquarters. It also made provisions for regional coordination of support to the new programme through regional advocacy, communications and technical backstopping, and the mandate for this was assigned to ECA. DPI was given the mandate for outreach and public information and communications at the global level. All these arrangements pre-date the TYCBP.

<sup>13</sup> COMESA, ECOWAS, ECCAS, EAC, SADC, CEN-SAD, IGAD and UMA

<sup>14</sup> See, DPI, The African Union's New Partnership for Africa's Development: Programme of Action New York, 2008 op. cit



23. By 2006, the TYCBP had come into being, adding a new dimension and creating a broader field of support to Africa's regional peace, security and development institutions. While there were executive initiatives to provide the requisite support responses to this new development, the resource structure in support of the institutions remained the same.

24. In the Programme Budget, Section 11 (UN support for NEPAD) of Programme 9 of the biennial programme plan and priorities, in Part IV (International Cooperation for Development),<sup>15</sup> provides for support to NEPAD through three sub-programme budgets: Coordination of global advocacy of, and support for NEPAD; Regional coordination of, and support for NEPAD; Public Information and awareness activities in support of NEPAD.

25. The first sub-programme was to be executed by OSAA, the second by ECA and the third by DPI. In the 2006-2007 biennium, US\$7,070,300 was allocated to OSAA, US\$2,254,100 to DPI and US\$1,478,700 to ECA. These provisions were made before the TYCBP came into force. It therefore has to be assumed that any funding for activities in support of the TYCBP in that biennium, were merely squeezed out of what had already been provided in the regular budget, or came from extra-budgetary sources.

26. In the 2008-2009 biennium, of the total outlay for the programme of US\$11,656,300, 82% remained at UN headquarters, New York and was distributed between OSAA, US\$7,360,100 or 63.1%, and DPI US\$2,252,500 or 19.3%. ECA received US\$1,573,700 or a mere 13.5% of the total. By then the TYCBP was two years old. Yet apart from passing references to it in the programme budget, no programme support provisions were made specifically for it. All the allocations were in support of NEPAD or more generally, of "development in Africa".

## **b. Programmatic and Technical Support of UN Departments and Agencies to the TYCBP**

27. There have been a number of Secretariat reports on the implementation of the TYCBP as well as on support to NEPAD.<sup>16</sup> From these it is evident that the UN system is very actively engaged in Africa, at the national, the sub-regional and the regional levels. Overall, the UN system has been contributing substantially in support of programmes of peace, security, human rights, governance and development on the continent. It has been doing so *inter alia*, through the provision of technical assistance, advisory services, institutional and programme support and capacity building.

15 See doc. A/61/6/Rev.1

16 See AUC, "Progress Report on the Integration of NEPAD into the Structure and Processes of the African Union and its Implications for the RCM and UN Agency Support", Addis Ababa, 2009; JIU, "Towards More Coherent United Nations System Support to Africa", by Pap Louis Fall and Mohamed Mounir Zahran, doc/JIU/REP/2009/5; UN, Report of the Secretary-General on United Nations Support of African Union Capacity Building" New York, 2008; UN, "Second Report of the Secretary-General's Advisory Panel on International Support for the New Partnership for Africa's Development", New York, 2006; UN, "Cooperation Between the United Nations and the African Union", New York; ECA, "Final Report of the Review Meeting on Measures to Enhance the Regional Consultation Mechanism of United Nations Agencies and Organisations Working in Africa in Support of the African Union and its NEPAD Programme", Addis Ababa, 2008; ECA, "Outcome Document on the Open Forum on NEPAD", Addis Ababa, 2009; ECA, "Delivering as One for Africa: The Regional Coordination Mechanism (RCM) of UN Agencies and Organisations", Addis Ababa, 2009.

28. In a 2008 report of the Secretary General on United Nations Support of African Union Capacity Building,<sup>17</sup> a review of the activities of the various offices, organizations, funds and programmes of the UN in support of the AUC was undertaken. The report indicated that immediately after the TYCBP came into force, the UN system took action through its RCM at its 7<sup>th</sup> session in November 2006 to "deepen coordination and collaboration" with the AUC and "[align] ...the support for NEPAD with the ten-year programme"<sup>18</sup>. It decided to add to its cluster system, a new cluster on peace and security, in addition to the existing eight on development and governance issues.

29. In addition to the activities undertaken directly within the mechanism created to operationalise the TYCBP (i.e. the RCM and its clusters), Departments, Offices and Programmes at UN Headquarters also made their own direct individual contributions towards it. DESA reported that it had provided support to the AUC through the formulation and implementation of a governance and public administration programme. It also reported having assisted in strengthening and implementing policies on social and youth development and on governance of public utilities. It has assisted in the development of statistical capacity in Africa through its collaboration with the African regional institutions in setting up the African Statistical Knowledge Network. It is assisting with measures to improve reporting on the MDGs, and analysis and dissemination of census data. Through its "Capacity Building for Inter-regional Electricity Access and Supply in Africa", it provides support to NEPAD's Short-term Action Plan on the development of regional infrastructure, particularly in the energy sector.

30. DPA provided training in the management of peace and security matters for officials of the African Union Peace and Security Council at the Security Council Affairs Division at Headquarters, and has worked with the AUC to draw up the African Charter on Democracy, Elections and Governance which was adopted by the Assembly of Heads of State and Government in 2007. It has also provided similar assistance to the RECs. It organized a workshop in Cape Town, South Africa on "Operationalizing Mediation Support: Lessons from Mediation Experience in Africa", which it holds, "translated into a practical follow-up on the discussions held earlier in Addis Ababa on the overall strategic cooperation... on the evolving framework for capacity building". It also held a number of meetings and consultations with the AUC on a range of important issues such as the development and operation of early warning systems.

31. Extensive support has been provided by UNEAD to the Elections Unit of the Political Affairs Department of the AUC, and assistance was made available for the creation and management of a data base as well as a roster of African electoral experts. Assistance was also provided for the finalization of the UN-AU 2009-2011 work plan on Strengthening AU Mediation Capacities.

32. Through the UNLO-AU, DPA has been co-chairing the RCM cluster on peace and security.

17 UN, "Report of the Secretary-General on United Nations Support of African Union Capacity Building", New York, 2008, op. cit.

18 Ibid.

33. UNDP contributed to building capacity of the Peace and Security Secretariat by funding the recruitment and training of all the political analysts currently manning the Secretariat. It has also provided, and continues to provide substantial financial, material and technical support to NEPAD and its African Peer Review Mechanism (APRM). It manages the APRM Trust Fund and provides the resources needed to meet the staffing needs of the APRM secretariat and activities of the Panel. Thanks to this support, it has been possible so far, for 12 out of the 30 countries that have signed into the APRM, to have been peer-reviewed on their performance in the areas of democracy, human rights and economic and social development.

34. UNDP also makes financial contributions to the work of the RCM.

35. UNICEF assisted in the setting up of the Secretariat of the African Committee of Experts on the Rights and Welfare of the Child (ACERWC) within the Department of Social Affairs of the AUC. This support included a new office with personnel, equipment, technical and salary support. In addition, UNICEF is providing capacity support and secondment of personnel to the Department of Economic Affairs of the AUC for the establishment of AfricaInfo database in 2010, which is the first-ever Africa-wide database owned by the AUC and with the close involvement of RECs. Further, UNICEF has been offering substantial technical and financial support to the AUC in the areas of nutrition, education, health, gender, youth and child rights."

36. OHCHR reported that it had been assisting with the strengthening of the Human Rights Unit in the AUC Department of Political Affairs and with the implementation of human rights instruments towards greater effectiveness of the regional human rights treaty bodies, namely, The African Commission on Human and Peoples' Rights, The African Court on Human and Peoples' Rights, the Africa Committee of Experts on the Rights and Welfare of the Child. It has also assisted with a review of African treaty body systems and has helped strengthen the African Union's Resource Centre for Governance, Democracy and Human Rights. It has been assisting the AUC formulate a Human Rights Strategy for Africa. OHCHR serves as the convener of the sub-cluster on human rights, justice and reconciliation.

37. UNHCR has been helping to strengthen capacity of the AUC for improved planning and response to refugee and displacement questions. It provided assistance to the AUC in drawing up the African Convention for the Protection and Assistance of Internally Displaced Persons in Africa, which was adopted by the Heads of State and Government of the African Union in 2009. It also provided support for the drafting of the AU's document on Post-Conflict Recovery and Development.

38. OCHA provides support to the African Union and the RECs, particularly ECOWAS, in their effort to build capacity for disaster response, including with training of emergency response teams. Through the Consolidated Appeals and the Central Emergency Respond Fund, it has broadened the sources of support and emergency response for humanitarian and post-conflict recovery activities in Africa. It has collaborated with UNHCR and IOM in addressing the problem of refugees and displaced persons.

39. OSAA has continued its global advocacy for NEPAD. It has put out a number of analytical studies and reports, organized a series of meetings and workshops and promoted the objectives of NEPAD among Africa's development partners and the international community. OSAA chairs the RCM cluster on communications and advocacy, which met during the reporting period to chart out and refine strategies for coordinating the system-wide effort to support the TYCBP and the NEPAD Agency through better communications and information strategies. In February 2009, with the support of the Communications and Advocacy cluster, it convened a Regional Media Dialogue on NEPAD in Vaal, South Africa, for journalists and other media practitioners, to assist in promoting better understanding of NEPAD, its vision, objectives and programmes and in generating greater support for them. OSAA also convenes the headquarters-based Inter-departmental Task Force on African Affairs, whose mandate is to coordinate headquarters activities in Africa towards greater synergy and coherence.

40. DPI publishes "Africa Renewal" on a quarterly basis in English and in French. Circulation is about 250,000 copies per issue. Themes covered in the issues put out in the reporting period include education, maternal and child health, conflict and human trafficking, gender and development, commodity prices and poverty. The on-line edition is carried on its website, which registers scores of visits every day. In addition, through its radio and television programmes on Africa, DPI provides additional support to NEPAD. From time to time, it produces stories on NEPAD for use by the print and electronic media in Africa and abroad. It reported that in 2006 and 2007, "over 600 such stories were published in more than 90 media outlets" <sup>19</sup>

41. ECA was repositioned in 2006 to better serve Africa and its key institutions and programmes. A NEPAD Support Unit, which also operates as the RCM Secretariat and an APRM Support Unit were established. ECA's substantive divisions have realigned their programmes with the regional programmes of the AUC, NEPAD and the RECs.

42. As the office with the mandate for regional coordination, support and advocacy for NEPAD as well as the secretariat of the RCM system, ECA has performed the role of facilitator, liaison and coordinator of UN actions on the TYCBP. It has provided a platform for networking and for knowledge generation and management. It has convened and serviced all the RCM meetings, including preparing or collating meeting reports and other working documents. It has initiated action to assist the RECs establish their own coordination mechanisms and has convened several meetings to that effect. ECA provided substantial institutional and other support to the AU and its NEPAD programme. It also provided assistance at critical stages of the APRM in various countries as well as to the APRM Secretariat to promote good governance across Africa.

43. Through its leadership role in the RCM, ECA has helped improve coordination of interventions of UN system organizations in support of the AUC and NEPAD at the regional and sub-regional levels, especially through the technical and secretariat support that it provides to the nine clusters of the RCM. It has contributed significantly in advocacy and public information in furtherance of AU and NEPAD programmes as well as the APRM. It prepares inputs and position

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<sup>19</sup> RCM-Africa; 'Delivering as One', Addis Ababa, 2009, op. cit.

papers for the engagement of African leaders in the C10, G8 and G20 processes. To ensure a continued and effective UN engagement in Africa's development at the highest levels, the Executive Secretary of ECA holds quarterly meetings with the Chair of the NEPAD Heads of State and Government Implementation Committee and attends all summits of the AU Heads of State and Government.

44. In the area of peace and security, the UN has made significant contributions to the regional effort. It should be recalled that cooperation in this area, between the UN and the AUC - as well as the OAU before it - goes back many years before the coming into force of the TYCBP. The lines of collaboration are therefore well drawn and the needs and response mechanisms clearly articulated and defined. The two organisations had worked together in establishing the African Peace and Security Council and the African Stand-by Force. They collaborated in setting up the African Union Peacekeeping Mission in the Sudan (AMIS) as well as the African Union Peacekeeping Mission in Somalia (AMISCOM). The African Union-United Nations Hybrid Operation in Darfur (UNAMID) was a new and largely successful experimentation in partnership between the UN and a regional organization, in jointly undertaking and managing peacekeeping operations. Another innovation was the opening, at the AUC, of the United Nations Support Office for AMISOM to give logistical and capacity support to AU troops in Somalia. This partnership is further reinforced through the work of the United Nations Planning Team (UNPT) in Addis Ababa.

45. In recognition of the potentialities of the AUC in peacekeeping and peace building in Africa, DPKO has created its own African Union Peace Support Team (AUPST) to provide expertise and transfer of know-how to the AUC, working through the African Union Peace Support Operations Division. The AUPST also provides assistance to the AUC's African Stand-by Force. In addition to all this, it helps develop institutional capacity for mission planning, management and logistics through advisory services, training and technical assistance.

46. Within the context of the UN-AU Joint Action Plan, DPKO and the AU's Peace and Security Department have come up with their own joint action plan in support of capacity building towards the creation and strengthening of the African Stand-by Force. The plan covers a set of activities to be implemented in the short, medium and long term. Through the short term activities, the foundations of the Regional Stand-by Force (RSF) were laid. This was done with the full involvement of some of the RECs. Training was also provided for senior officials of the AUC and the RECs on various aspects of mission logistics and management.

47. Technical advisory services were provided on budgeting and financial management for both headquarters and mission staff, and on the design of the Wide Area Network as well as on a system for inventory and warehouse management.

48. Overall, the individual support of the Departments, Offices, Programmes and Organisations of the UN to African regional organizations generally, has indeed been robust. Be that as it may, it must also be said that much of this support was not necessarily conceived within the

context of the TYCBP, nor was it intended to address its needs, or be directed at meeting its objectives. Some of the activities undertaken were a continuation of actions initiated before the coming into being of the TYCBP and so were not designed to be of direct relevance to it. Their direct contribution to the implementation of the TYCBP can therefore be said to be limited, in addition to being unplanned and uncoordinated in line with the spirit of the TYCBP.

## E. The Regional Coordination Mechanism and its Clusters<sup>20</sup>

49. The RCM was established by GA res. 1998/46, as a mechanism for consultation among agencies, programmes, organizations, funds and offices of the UN, working at the regional level. What started off as informal consultative gatherings evolved over the years into a formal, annual event at which organizations and agencies of the United Nations operating in Africa shared information on their respective activities and made attempts to coordinate their strategies for programme delivery to their African beneficiaries and partners. Resolution 57/7 called upon them to enhance their cooperation and collaboration with NEPAD and the African Union. It is largely through the activities of the RCM and its nine clusters and fifteen sub-clusters that all stakeholders seek to achieve this objective. It is also within this framework that the partners collaborate towards implementing the TYCBP.

50. The RCM secretariat is embedded in the NEPAD Support Section of the Economic Development and NEPAD Division at ECA. It was created originally to provide backstopping and support to NEPAD development programmes. However over the years it has assumed responsibility for servicing the work of the RCM. It is manned by three professionals whose duties include preparing reports for a number of intergovernmental meetings such as the Joint Annual Meetings of the AU Conference of Ministers of Economy and Finance, and ECA Conference of Ministers of Finance, Planning and Economic Development, as well as the Intergovernmental Committee of Experts meetings of ECA's five sub-regional offices. In addition, it provides technical and operational support and backstopping to the work of the RCM, as well as liaison with the NEPAD Agency.

51. UN agencies, organizations, offices, funds and programmes participating in the RCM number over forty. In addition, the AUC, the NEPAD Agency and the RECs actively participate in its activities, as do the AfDB and the World Bank. It has met on four occasions in the period under review. As a forum to give guidance and direction to UN activities in Africa towards greater coherence and coordination, it has made adequate arrangements for pursuing its mandate. It created the cluster and sub-cluster system through which it seeks to operationalize this man-

20 This section is based on reports contained in: RCM-Africa, "Delivering as One", Addis Ababa, 2009, *op. cit.*; "Report of the Secretary-General on UN Support of African Union Capacity Building", *op. cit.*, UN, *Cooperation Between the United Nations and the African Union*, *op. cit.*; UN, "Report of the Secretary-General: Support of African Union Peacekeeping Operations Authorized by the United Nations", *op. cit.*; UN, "Progress Report on the Regional Consultation Mechanism of United Nations Agencies and Organisations Working in Africa", *op. cit.*

date. There are nine clusters, viz: Infrastructure development; Governance; Social and human development; Environment, population and urbanization; Agriculture, food security and rural development; Science and technology; Advocacy and communications; Peace and security; Industry, trade and market access.

52. Since 2006, the RCM has grown in membership and stature, with an increasingly high level of representation of the participating organizations. Sessions have been chaired by the Deputy Secretary-General and co-chaired by the Chairperson or the Deputy Chairperson of the AUC. This is indicative of a strong commitment to the concept of "delivering as one", the seriousness with which the mechanism is viewed by all concerned, and a desire and commitment at the highest levels, to make it work.

## **F. Achievements of the Clusters**

53. It must be said that in spite of its shortcomings, the cluster system has succeeded in increasing consultation and interaction within the UN system, and between the UN and the beneficiary institutions. It has helped to underscore the need for relevance, focus and effectiveness, and has improved communication between stakeholders and among them. Increasingly, clusters have been working towards developing joint activities and projects, as well as business and action plans.

54. ECA coordinates the Infrastructure cluster which operates through the work of its four sub-clusters: water, energy, ICT and transport. This cluster reported that it has provided substantial support to the African Ministerial Council on Water (AMSCOW), which is a Ministerial forum of the African Union, by assisting with the development and harmonization of water policies, as well as the formulation of common strategies on water. Assistance has also been provided to raise funding for the African Water Facility, and support was given for information dissemination through publications such as the Africa Water Report and the Africa Water Journal. At the sub-regional level, assistance has been provided to strengthen capacity of the water units of the RECs and the river and lake basin organizations such as the Lake Chad Basin and the Lake Victoria Basin.

55. In the field of energy, emphasis has been on access, efficiency and renewables. Support was given to the AUC for the preparation of its "Africa Energy Vision 2030". More generally, studies have been conducted on important energy issues ranging from rural energy systems, to sustainable bio-fuels development and the setting up of a Clean Energy Finance Facility by the AfDB. A number of training activities have been mounted for operatives in the sector.

56. In the area of ICT development, focus has been on actions in support of the implementation of the NEPAD Short-Term Action Plan on Infrastructure. The cluster has helped in the formulation of the African Regional Action Plan on the Knowledge Economy (ARAPKE) and provided

substantive inputs into a 2009 AU Summit meeting on the theme, "ICT in Africa: Challenges and Prospects for Development". It is currently collaborating in the implementation of the project on the Harmonization of ICT Policies in Africa (HIPSSA). The ICT sub-cluster has helped African countries participate in global events such as the World Summit on the Information Society.

57. Work in the field of transport has concentrated on providing support for the implementation of the "Sub-Saharan African Transport Policy Programme" and the implementation of the Yamoussoukro Decision on liberalized access to air transport markets.

58. Cluster members include AUC, NEPAD, RECs, AfDB, FAO, IAEA, IMO, ITU, UNCTAD, UNDP, UNEP, UNESCO, UNICEF, UN-HABITAT, UNIDO, UPU, WHO/WAC, WIPO, WTO, WMO and World Bank.

59. The Governance cluster is coordinated by UNDP, and its members are: AUC, NEPAD, RECs, AfDB, ECA, IMF, OSAA, UNDESA, UNFPA UNLO-AU, DPKO, OHCHR, UNCTAD and the World Bank. Through the work of this cluster, substantial support was given to NEPAD for the launch of the Peer Review Mechanism in a number of African countries, providing also a data base of experts to help with the reviews. Further assistance was given for the convening of the 7<sup>th</sup> African Governance Forum under the theme, "Building a Capable State", at which heads of state and media practitioners participated.

60. This cluster has two sub-clusters: political governance and corporate governance.

61. The Agriculture, Food Security and Rural Development cluster provides assistance to NEPAD and the AUC through the support it extends to the Comprehensive African Agricultural Development Programme (CAADP). The assistance provided was to accelerate the implementation of the CAADP, through actions for the improvement of water control, infrastructural development and intra-African trade. Assistance was also provided for land reclamation, reduction of post-harvest losses and enhancing the participation of women in the rural economy. The cluster lent support to the convening of the AU's Special Summit on Food Security in Africa, as well as CEN-SAD's Sahel Agricultural and Rural Development Initiative, the AUC's Climate Information for Development initiative, the Fertilizer Summit, the Africa Land Policy and Land Reform, and the initiative on the Green Wall of the Sahara, a project set up to fight against land degradation and desertification in the Sahel.

62. FAO and IFAD are Coordinator and Vice-coordinator respectively, of the cluster. Members are: AUC, NEPAD, RECs, ECA, IAEA, UNCTAD, UNDP, UNESCO, UNIDO, UNHCR, WFP, WIPO and the World Bank.

63. Membership in the Environment, Population and Urbanization cluster consists of UNEP, as coordinator, AUC as co-coordinator and, as members, NEPAD, the RECs, ECA, IOM, UN-HABITAT, UNFPA and WMO. The cluster provides support to the "Sustainable NEPAD City" programme - which is a programme that seeks to invest African cities with the capacity to deliver on the MDGs



– as well as to the NEPAD environment initiative. It also assisted NEPAD in developing data for monitoring progress in meeting the goals it set for itself in the fields of population, environment and urbanization. It provided support for the convening of the African Ministerial Conference on the Environment (AMCEN), as well as to the RECs, in their effort to develop their respective environmental action plans. Assistance was also provided towards the establishment of the African Environment Facility, a mechanism for financing the NEPAD Environmental Action Plan.

64. Substantial assistance was provided to the AUC for the implementation of Multilateral Environment Agreements (MEAs) by member states and RECs. Through the work of the African Ministerial Conference on the Environment (AMCEN), and in collaboration with the RECs, the cluster made substantial contributions to the development of sub-regional climate plans and projects and to the forging of an African common position on climate change.

65. The Social and Human Development cluster consists of AUC as coordinator and UNFPA as co-coordinator, and ECA, NEPAD, RECs, FAO, IAEA, ILO, IOM, UNAIDS, UNDP, UNESCO, UNFPA, UNHCR, UNICEF UNIDO, UNIFEM WFP, UNOHCHR, WHO, WIPO as members. It has six sub-clusters: health and HIV/AIDS, malaria, TB and other infectious diseases; education and human resources; gender and development; social welfare, protection and human trafficking; labour and employment; and sports and culture.

66. The work of this cluster has been based largely on programmes laid out by the AUC in areas such as HIV/AIDS, employment creation and human resources development, and social policy formulation. It has come up with a joint work plan with clearly identified deliverables based on AUC and NEPAD priorities. It has provided support to several intergovernmental policy fora including the AU Conferences of Ministers of Health and of Education, the Committee of Experts on the Rights of the Child, the Africa Prosecutors Association Meeting, etc. Other areas of support for regional programmes were in ICT and data development for monitoring gains being registered in the Declaration and Action Plan of Africa Fit for Children (AFFC) and the AU integrated strategy in support of victims and survivors of violence against women.

67. The cluster assisted the AUC develop its Social Policy Framework, on which its programmes on social development are based. It helped popularize AU initiatives such as the Youth Volunteers Programme, the Campaign Against Human Trafficking, the Accelerated Reduction of Maternal Mortality in Africa, and the Universal Access for HIV/AIDS, TB and Malaria.

68. The Science and Technology cluster has reported that its achievements under the TYCBP include monitoring the NEPAD Science and Technology Action Plan and in developing the AUC's Africa's S&T Consolidated Plan of Action. It has assisted with the formulation of the science and technology policy; raised awareness on intellectual property rights; promoted science and engineering education and biotechnology; and supported actions aimed at arresting and reversing the brain drain.

69. UNESCO serves as the coordinator of this cluster. Its members are: AUC, ECA, NEPAD, RECs, FAO, ILO, OSAA, UNCTAD, UNDP, UNEP, UNIDO, UNU/MERIT, WHO and WIPO.

70. OSAA coordinates the Advocacy and Communications cluster, with ECA as vice-coordinator. Members are: AUC, NEPAD, RECs, DPI, UN-HABITAT, UNAIDS, UNHCR, UNESCO, UNDP, UNICEF, UNEP, UNFPA, UNIFEM, World Bank and AfDB.

71. Much of the work of this cluster comes out through the activities of DPI, and the ECA newsletter on NEPAD. In addition, the cluster has contributed to meetings convened for media practitioners, civil society and private sector organizations, and policy makers, to raise awareness on, or improve information and communications strategies for NEPAD programmes.

72. DPA/UNLO coordinates the Peace and Security Cluster and AUC serves as co-coordinator. Members are: NEPAD, RECs, DPKO, ECA, FAO, ILO, IOM, PBSO, UNAIDS, UNEP, UNDP, UNLO/AU, OCHA, UNIFEM, UNOHCHR, UNHCR, WFP, and WHO. It operates through the work of its three sub-clusters: peace and security architecture of the AU; post-conflict reconstruction and development; human rights, justice and reconciliation.

73. The cluster's work is based on its internally developed terms of reference, which include support for the operationalization of the AU's peace and security structures; the provision of technical assistance to the work of the AU's Peace and Security Council; gathering and dissemination of information on AU's peace and security activities; support to the AU's African Standby Force (ASF) and the Panel of the Wise; provision of technical, material and financial support for liaison between PSC and other AU organs as well as with civil society; and assistance with the implementation of the AU's Post-Conflict Reconstruction and Development Policy, as well as with the land mines and small arms and light weapons initiative.

74. Substantial support has been provided in the management of peacekeeping operations; the development of early warning systems and indicators; conflict-prevention initiatives; the build-up of mediation capacity; and strengthening and deepening of democratic systems, especially through the conduct of free, fair and transparent elections in African countries. The cluster has provided training through attachment programmes and the organization of workshops and seminars; supplied technical assistance personnel; given material and financial assistance; and helped develop and strengthen information and communications systems.

75. The ninth cluster is the Industry, Trade and Market Access cluster. It is coordinated by UNIDO, with ECA serving as Vice-coordinator. Its members are: AUC, NEPAD, RECs, FAO, IAEA, ILO, ITC, UNCTAD, UNDP, UNEP, UNESCO, WTO, WIPO, AfDB and the World Bank.

76. It has assisted the AUC and NEPAD in harmonizing regional negotiation positions on trade matters in the context of the Economic Partnership Agreements of the EU/ACP, as well as the DOHA round, especially on market access issues in respect of Africa's agricultural commodities. It has also paid special attention to measures to assist African countries diversify away from

commodity-dependencies, enhance competitiveness of their products, and increase value-added. It has been actively supportive of the African Quality Infrastructure Survey, the Industrial Upgrading and Modernisation Programme, the Regional Trade Programme for the East African Community and the Trade Support Programme for COMESA.

77. It can thus be seen that much has been done system-wide, through the RCM and its clusters and sub-clusters, to support Africa and its regional and sub-regional institutions in their peace, security, governance and development efforts. Substantial financial and material resources have been committed; actions have been undertaken to strengthen institutional and human capacities; advocacy with the international community in support of Africa's programmes and priorities has been intensified; assistance has been provided for strengthening policy formulation; and efforts have been made to improve coordination of actions for greater impact and effectiveness.

78. Yet there was considerable lack of satisfaction among stakeholders with the quality of the results so far achieved, especially with actions purportedly in support of the TYCBP, and with the workings of the arrangements put in place to achieve them.

79. There was general agreement that, all these activities notwithstanding, tremendous difficulties were being encountered in meeting the objectives of the TYCBP, and that the RCM needed to be made to function more effectively in support of it. Although the RCM has been convening well-attended annual regular meetings and has made cogent recommendations aimed at improving coordination, communications, working methods and overall effectiveness, follow-up on these has not been satisfactory and implementation has been very slow.<sup>21</sup>

80. The next section presents a summary of the findings of the consultations with stakeholders, both on the UN side and on the side of the beneficiary institutions. It addresses the issues that were raised, and the broad consensus that emerged from these consultations. It also provides a summary of the responses to the questionnaire survey of the stakeholder organizations.

## **G. Consultation with Stakeholders: Findings**

81. At the onset, it should be stated that there was tremendous support for the TYCBP from each and every one of the officials contacted. They all displayed much enthusiasm for it and a sincere wish to see it work and deliver in a manner that meets expectations. It was felt that if this were to happen, the AUC, NEPAD Agency and the RECs, would derive enormous benefits from this partnership and the UN would have fulfilled an important obligation to the region.

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<sup>21</sup> See "Key Recommendations of Sessions of the Regional Coordination Mechanism (RCM)", Consultation Meeting of Cluster/Sub-Cluster Coordinators on the Functioning of the Cluster System of the Regional Coordination Mechanism, Addis Ababa, Ethiopia, 30 June 2010

## **a. Capacity Building: Conceptual Issues**

82. One of the difficulties facing the TYCBP, is the divergence of views as to what constitutes capacity building in the context of the programme. As a working definition, capacity building may be described as entailing those actions that invest in an organization, the ability to formulate, plan, manage and implement policies and programmes towards the full attainment of that organisation's objectives and goals. This would require the creation within the organization, of a critical mass of skills, knowledge and expertise and the availability of the requisite financial resources and organizational instruments, processes and mechanisms, all interacting in ways that conduce to effectiveness in the formulation and prosecution of policy, and success in the implementation of plans and programmes.

83. There are several different interventions through which capacity can be built. The one that is most often targeted is the education, training and skills upgrading and development of the staff. Education through formal short, medium or long-term courses readies the staff with the basic knowledge required for performance on the job. Formal training through short courses, or on-the-job training through attachments, strong management supervision or study visits are also very effective ways of preparing staff for increasingly complex levels of performance on the job. These interventions seek to strengthen the institution's human resource base.

84. But there are other equally important ways of building capacity. Identifying non-staff constraints on productivity, such as disenabling management practices, rules and regulations, and taking appropriate measures to correct them, would impact very positively on institutional capacity. Certain policy rigidities or system and process deficiencies could also affect the institution's ability to perform optimally. Addressing these would help strengthen capacity in the organization.

85. The ability to access and optimally and effectively utilize the material, financial and technical resources required for the organization's operations is also an important capacity building requirement; as is the ability to set goals and build partnerships, consensus and support in furtherance of the objectives of the organization.

86. Against this background, it can be said that the UN system in Africa has contributed significantly to the capacity building needs of the region. Even seemingly modest provisions of assistance, such as a financial contribution to enable an organization prepare a report, or convene an experts group, or a policy organ meeting, does something to strengthen that organisation's capacity.

87. Obviously, the partner organisations, cannot be expected to identify for the beneficiary institutions, what their capacity building needs are, although they could be called upon to assist in the needs assessment exercise. It would be up to the beneficiary institutions themselves to define the particular areas of need to which the UN organizations, agencies, funds and programmes would be expected to respond.

88. All the beneficiary institutions admit suffering from capacity limitations. They all complain of staff shortages, financial constraints, inadequate support structures and mechanisms, etc. They also all admit that the benefits derived from the TYCBP by way of actual contributions to capacity building for their institutions, have been limited, although they recognize the tremendous potentialities of such an initiative in helping them solve their capacity problems. They therefore welcome any initiative designed to re-position and re-focus the TYCBP towards more concrete and beneficial outcomes.

89. On the UN side, the view was expressed that in a number of areas where assistance has been provided to redress the problem, the initiative has had to contend with the added constraint of weak absorptive capacity in the beneficiary institution. In one instance, technical assistance experts supplied to train staff on the job, found themselves having to do the work themselves, rather than developing the capacity of the staff to perform, through on-the-job training and effective staff supervision. The problem was that no specific counter-part staff had been assigned to them. They therefore functioned simply as regular employees on a day-to-day basis. Of course, at the end of their assignment, they would have left no new staff capacity behind. DPKO's decision to concentrate its capacity building interventions through training, on training of trainers of the recipient institution, may be a good approach to addressing this problem.

90. There were complaints of excessive bureaucracy and red tape in the beneficiary institutions and the existence of structural rigidities that slow down decision making and further compound existing capacity inadequacies.

91. These problems together, appear to afflict the RECs more seriously than they do the AUC or NEPAD. Even so, it was the view that priority should be given to a significant strengthening of capacity at the AUC in order to ultimately enable it in turn, assist the RECs and NEPAD enhance theirs.

## **b. Ownership and Leadership**

92. At present, the existing elements of the TYCBP are only the FRAMEWORK for a programme. In this Framework, the AUC has laid down the parameters within which programmes may be formulated for the UN system in Africa to direct its resources in a coordinated and focused manner towards helping the beneficiary institutions - AUC, NEPAD and the RECs - enhance their capacity to successfully prosecute their respective mandates and objectives. Since the signing of the Declaration, the stakeholders have yet to evolve a programme - a body of activities to be undertaken towards meeting set objectives within a given time frame and at a given cost - on which concerted and coordinated actions in capacity building may be focused.

93. Because of the absence of such a programme, it has not been easy for the stakeholders operating within the RCM cluster system to make targeted interventions in support of the capacity development needs of the beneficiaries. It is also partly because of the absence of a target on

which to direct attention, that it has been difficult for the beneficiaries to demonstrate strong leadership of the process. In the circumstances, and faced with a leadership vacuum, it has been easy for the UN side to step in and, by default, take the lead. This can be seen in the number of clusters that are coordinated/chaired by the UN. Leadership would have been demonstrated more strongly if the AU had assumed the chair of ALL the clusters and the RCM as well. It is instructive that the clusters that are seen to be performing better than the others, are those under the active leadership of the AUC.

94. Perhaps it is as a result of this situation that the AUC has been perceived to be lacking in enthusiasm for, and commitment to the TYCBP. Even some senior officials consulted at the AUC refer to the Programme as a "UN Programme" when in reality, it should be seen as an AUC/NEPAD/RECs programme, by virtue of it having been formulated at their behest, to be of service to them. This raises the question of ownership.

95. There is almost unanimous agreement that the beneficiary institutions have not displayed much ownership of the TYCBP and its processes, and that this has contributed to their delivery inadequacies. With stronger show of ownership, leadership would have been more easily assumed. And with stronger leadership, the institutions would have been better placed to more clearly articulate their needs and define a clearer role for the UN system, in meeting them. The few attempts at needs articulation have ended up with a list of wants that do not necessarily amount to capacity building deliverables.

96. But it may be that this weakness in leadership is itself a result of institutional capacity weaknesses elsewhere. These may be structural, infrastructural or process-induced. Working together with the beneficiaries to identify the source of the problem and addressing it through corrective measures, could be an ideal substantive entry point for the UN and the beneficiary institutions to work in concert on these capacity issues.

### **c. The RCM and its Clusters**

97. It would be recalled that the purpose of establishing the RCM was to have the UN system in Africa coordinate its activities in such a manner as to be able to "deliver as one". The RCM pre-dates both NEPAD and the TYCBP, although it started off as a "consultative" mechanism before the coming into existence of both programmes. With the coming into being of NEPAD in 2001, and the UN response of support to it in 2002, it was deemed necessary to change the "consultation" function of the mechanism into a "coordination" one, and have the mechanism's activities aligned to the priorities of NEPAD. When the TYCBP was signed four years later, the mandate of the RCM was expanded further to have the UN system work towards meeting the new programme's objectives. Since then, the RCM has endeavoured to work in fulfillment of this mandate. It has sought to do so through the work of its clusters and sub-clusters.

98. All officials consulted agree that the RCM concept is an excellent one from which regional institutions could derive tremendous benefits. RCM - Africa has come a long way since its establishment from an inter-agency consultative meeting to a mechanism for providing coherent and coordinated support to African regional and sub-regional organizations. Over the years, the RCM has waxed stronger through the work of its cluster system. The AUC, NEPAD Agency, and the RECs—the beneficiaries—have, since the coming into force of the TYCBP, become part and parcel of the mechanism, which started as a wholly UN affair. At present, the AUC serves as Co-Chair of each of the clusters. Several reviews have moved the mechanism from its initial concentration on strengthening processes, to focusing on results and impact.

99. The 'delivering as one' concept has gained increasing acceptance, with agencies having to rethink strategies of working collaboratively within the RCM context, in the provision of support to their beneficiaries. Clusters, have, to varying degrees endeavoured to align their activities with the priorities of the AUC and its NEPAD programme, as well as those of the AU sectoral ministerial bodies. They have also intensified their efforts to establish business plans and to embark on interagency joint programming and joint implementation of certain projects.

100. The operational focus of the RCM is increasingly sharper, as it makes greater effort to better align its activities with the AU vision and the priorities of NEPAD. UN Agencies have strengthened their involvement in the clusters, whose coordination has also greatly improved. Equally, the AUC, NEPAD and the RECs have also increased their involvement in, and engagement with the RCM. NEPAD has designated an RCM focal point as has the AfDB and the AUC. All of this demonstrates that there is now a stronger resolve overall, to improve coordination in support of Africa's development at the regional and sub-regional levels; strengthen cooperation between the UN and African regional organizations; and increase institutional support to AU, NEPAD and RECs.

101. Challenges still remain and improvements are needed on all fronts, including coordination, monitoring and follow up; participation of UN agencies and of beneficiary institutions; leadership at all levels; accountability; etc.

102. Implementation of the TYCBF is through the RCM and its cluster system. It is through the latter that the individual actions of the agencies, offices, programmes and organizations of the UN system in Africa are expected to be coordinated and aligned with the priorities and objectives of the AUC, NEPAD and the RECs. The success of the TYCBP therefore depends on how effectively the RCM and its clusters fulfil their mandates.

103. The mechanism is faced with a number of challenges and improvements are needed on all fronts, particularly in the areas of coordination, monitoring and follow up; participation of UN agencies and of beneficiary institutions; leadership at all levels; accountability; etc.

104. The RCM meets once a year. The clusters and sub-clusters normally meet at the convenience and availability of their respective coordinators/chairpersons. Unlike the RCM, they

have no calendar of meetings of their own. There were complaints that most clusters do not meet more than once a year, invariably, just in time to have something to report to the RCM at its next annual meeting. A few clusters have even failed to meet this minimum. Another observation was that cluster meetings are not as well attended as they should be, especially on the side of the beneficiary institutions. This may be because most clusters are Addis Ababa-based, and resource constraints do not allow members who are based outside of Addis Ababa to travel to meetings. Also, UN staff members typically have heavy travel schedules, making it difficult to capture all members of a cluster in Addis Ababa at any one given time. However, it was pointed out that if meetings were better planned, in a manner that allowed people to factor them into their travel and other related work schedules, then this problem might be eased. Cluster meetings away from Addis Ababa are even more problematic: since most of the membership of clusters is Addis Ababa-based, they would each have to ensure that they have the resources to be able to attend. This is not always the case, because stakeholders have invariably not made provisions within their budgets, for expenditures related to RCM or cluster work.

105. Some members of clusters pointed out that their particular agency mandate requires their presence in more than a few clusters. They bemoan the fact that because of lack of staff and other resources, they are able to be in only some, and not all the clusters which they are expected to be in.

106. The presence of NEPAD and the RECS in the work of clusters and sub-clusters is perceived to be rather weak. This may be because of the problem of distance, given that they would almost always have to travel away from their headquarters to attend cluster meetings, as well as staff and other resource constraints. With nine clusters and fifteen sub-clusters meeting at various times of the year, it would not be realistic to expect that the NEPAD Agency and the RECs would have the resources necessary to enable them attend ALL of those meetings. The working methods of the clusters, including venues, frequency and timing of meetings, would have to be reviewed in order to make it possible for a much greater number of members from the beneficiary organisations to attend.

107. Generally, the substance of cluster meetings does not appear to be directed at the needs of the TYCBP. As such they tend to degenerate into a recounting of each agency's activities with, and future plans for the beneficiary institutions. In some instances, they wander off into an account of what that particular agency, office or programme is doing *generally*, in Africa. They therefore end up adding little value to outcomes, in so far as the objectives of the TYCBP are concerned. In other words, cluster activities tend not to have much direct relevance to capacity building in the context of the TYCBP. At present, it cannot be said that there is a distinction between the mandated responsibilities of the stakeholder organizations, agencies, offices and programmes, and the needs of the TYCBP.

108. The view was widespread that the RCM and the clusters were driven by the UN, with the AUC, NEPAD and the RECs passively tagging along. One of the beneficiary institutions felt that the UN participation in the RCM and the clusters was overbearing, and verging on the conde-



scending - a perception which must be taken seriously, with conscious efforts to avoid actions and behaviors that may help to reinforce it.

109. The participation of the RECs has not been all too active. It must be said that they were brought into the process only recently in the last year or two. Therefore, their roles in the mechanism are yet to be fully defined and understood. That notwithstanding, they strongly support the decision of the 10<sup>th</sup> RCM meeting that the mechanism should be replicated at the sub-regional level to allow for concertation and coordination between the RECs and the UN system.<sup>22</sup>

110. All this notwithstanding, it was the view that at present, the engagement of the RECs with the UN was rather marginal especially in the area of development, with some RECs claiming not to have any real direct support from the UN system. They argue that as the building-blocks of the region's economic and political integration, any actions aimed at assisting the AU attain its objectives, that by-passes them, would help the continent meet its objectives only with the greatest difficulty. Furthermore, they stress the fact that of all the intergovernmental groupings that need help with capacity building, they probably stand out most prominently. Also, they pointed out that generally, their projects, especially those in the fields of energy, water and infrastructure, present excellent opportunities for collaboration, concertation and cooperation with the UN system.

#### **d. Coordination, Information Dissemination and Planning**

111. Then there is the problem of coordination within clusters, between clusters and at the RCM apex. There was general agreement that improved coordination among participating UN entities, as well as at the AUC and the RECs, and between all these organisations is still work in progress. Even so, the very existence of the RCM and its clusters indicates that, at least on the UN side there are serious efforts at coordinating actions. The same could not really be said of the beneficiary institutions. Their participation in a UN-initiated coordination mechanism does not necessarily mean that they have themselves been able to achieve an appreciable level of coordination between and within their own respective organizations. It was felt that if each stakeholder had a focal point to serve as substantive coordinator of the work of the RCM and all its clusters, massive improvements would have been discerned both at the level of the RCM and at the level of the stakeholder organisation.

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22 In response to this recommendation, representatives of member states of Eastern and Southern Africa, the AUC, RECs, IGOs, Corridor Management Authorities, the UN system organizations, the AfDB and other stakeholders had met in Kigali, Rwanda, on 19 and 20 March 2010 in a High Level Meeting on Regional Integration and the Establishment of a Sub-regional Coordination Mechanism (SRCM) for the UN System-wide Support to AU/NEPAD/RECs/IGOs in Eastern and Southern Africa. In line with the recommendations of the 61st Session of the UN-GA, the High Level Meeting strongly urged that prompt action be taken to establish a SRCM to support the integration agenda of the RECs/IGOs in Eastern and Southern Africa. It further recommended that the SRCM should be aligned with the programmes and activities of the RECs and IGOs operating in the two sub-regions and anchored on multi-partner and multi-year programmes of cooperation between the RECs/IGOs and the UN. ECA, which already has multi-year programmes with the RECs, was called upon to enhance its role as strategic coordinator of the SRCM through its sub-regional offices (SROs).

112. Coordination across clusters is rendered difficult by the way the cluster system is organized. Each cluster coordinator/chair provides that cluster's secretariat. If the convener/chair is in New York, that cluster's secretariat would also be in New York. In Addis Ababa, coordinators/chairs and their secretariats are spread between the AUC, the ECA and among a number of agencies, programmes, organizations and offices. There is as yet to be designated, a point at which the work of all the clusters converges, is sorted out, analysed, refined and repackaged into one coherent whole for submission to the RCM.

113. At the level of the mandated programmes, there are also problems with regard to communication and coordination. The present arrangement in respect of monitoring and coordination of the work being carried out under the programme between OSAA, DPI, DPA, ECA, is very weak. More needs to be done to streamline roles and responsibilities and establish clear lines of communication such that each participating unit knows what the other is doing. At present, this is hardly the case, thus creating difficulties in assessing the impact and effectiveness of the UN effort in assisting the beneficiary institutions.

114. Information about the TYCBP was found to be very weak, generally among all the stakeholder organizations, but particularly so within the beneficiary institutions, thus reducing their chances of benefiting fully from the tremendous resource support they could derive from it. Much more needs to be done therefore, to popularize the TYCBP among all concerned parties and beyond.

115. Another concern of stakeholders had to do with the issue of planning. Activities of cluster members are not the outcome of joint planning of programmes. All clusters and sub-clusters are aware of this shortcoming and have taken steps to redress it. At the urgings of the RCM itself,<sup>23</sup> they have all committed themselves to the preparation of business plans which would help them focus together on common priorities and objectives. A few have in fact already come up with their own version of a business plan, which all agree, is at least a step in the right direction. These business plans are based on plans and programmes formulated by the AUC such as the AUC Strategic Plan 2009-2012, or the Ouagadougou Declaration and Plan of Action on Employment and Poverty Alleviation.

116. Furthermore, RCM and cluster activities require much stronger programme planning at the level of the participating entity. Stakeholders have reported that most of what they do in respect of RCM and cluster activities is on an *ad hoc* basis, somewhat of an add-on to their other programmed activities for which they are paid and on which they are evaluated. There is need for everyone involved in the work of the RCM and its clusters to ensure that they mainstream their involvement into their regular work programmes and ensure that adequate resource provisions are made to enable them meet their obligations to the RCM. This would help improve predictability and guarantee an enhanced level of participation.

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23 See recommendations of the 8<sup>th</sup>, 9<sup>th</sup> and 10<sup>th</sup> RCM Meetings

117. The way requests for assistance by the beneficiary institutions are brought before clusters indicates that more needs to be done on their part to improve on the planning of their own activities. These requests are often made on an *ad hoc* basis, after the work plans and budgets of the UN stakeholders have been drawn up and approved. This leads to difficulties in responding to the expressed needs of the institutions, or to doing so only in a partial or haphazard manner. The problem is not made easier by the fact that the stakeholder organizations each have their own separate programming and budgeting cycles which do not necessarily coincide with those of their partner organisations.

## e. The RCM Secretariat

118. The Secretariat of the RCM is within a small Section of a Division at ECA. It consists of three professionals and one or two support staff. Indeed, the smallness of, and resource constraints faced by the Secretariat have been strongly highlighted in both the JIU and OIOS reports. According to the latter report, the total budget available for backstopping support to the RCM is equivalent to 0.03% of total UN system expenditure in Africa.<sup>24</sup>

119. The secretariat coordinates and services the work of the RCM and its clusters, acting as a facilitator and liaison between the UN system organizations and the beneficiary institutions. It serves as a critical point of reference for the RCM, promoting collaboration, sharing of information and networking. Although it is thin on the ground, it has striven to engage and build confidence among all stakeholders and become more responsive, more strategic and more effective in supporting the RCM as well as the AU and its NEPAD Programme. It has also helped to boost the image of the RCM. The initiatives it has taken to garner greater support for NEPAD, the APRM and programmes of the AUC, have led to an even heavier demand on its existing limited capacity. In addition, it should be recalled that the 7th and 8th meetings of the RCM had redefined its role from "convener" of ROMs to "strategic coordinator" of UN support to AU and its NEPAD programme. This has meant that its coordination and support functions would have to be significantly expanded, requiring it to become more proactive and more engaged in cluster coordination, and the monitoring of processes, outcomes and resources. It has also called for a significant expansion and deepening of its engagement with all UN agencies, RCM clusters, the AUC, the NEPAD Agency, the APRM Secretariat and the RECs.

120. In addition, it is expected that sub-regional coordination mechanisms to be spearheaded by ECA, would be established and made fully functional to better support the RECs and African regional integration. This added responsibility comes along with its own resource implications for the secretariat, which would need to be appropriately addressed.

121. The secretariat should now be called upon to coordinate the work of all clusters and sub-clusters, including convening and substantively servicing their meetings and undertaking the

<sup>24</sup> Report of the Office of Internal Oversight Services on the Evaluation of the United Nations Support to the Least Developed Countries, Landlocked Developing Countries, Small Island Developing States and Africa, op. cit. Also, Papa Louis Fall and Mohamed Mounir Zahran (2009) op. cit.

requisite follow-up activities. At present, because of its lack of capacity to carry out this function, the substantive backstopping of the work of clusters and sub-clusters is performed by their respective chairs. This arrangement poses difficulties with regard to the need for effective monitoring and coordination of, and follow-up on the work of clusters and sub-clusters. For the duties it is supposed to perform in effectively supporting the work of the RCM, including all clusters and sub-clusters, the current capacity of the secretariat is without doubt, inadequate.

122. The view was thus unanimous, that secretariat support to the RCM and its clusters and sub-clusters needs significant strengthening to enable the secretariat effectively perform its executive duties. This would entail investing it with the capacity to convene and service meetings not only of the RCM, but also of each of the clusters and sub-clusters. It would also have to be enabled to provide strategic leadership and guidance, monitor the work of the entire system and undertake all the necessary follow-up activities. It would be at this strengthened secretariat that coordination of work across the entire system would be undertaken, and where much of the responsibility for mobilizing resources for the TYCBP and its implementation mechanisms would lie. The new secretariat would also be expected to prepare periodic reports for the RCM. All participating agencies, organizations, offices and programmes would be required to contribute towards meeting its resource requirements.

123. Such a strengthened secretariat would help overcome the problems of coordination, information, communications, monitoring, follow-up and reporting that currently afflict the RCM system. In a situation where participants come and go, this secretariat would provide the continuity and institutional memory required to effectively operate a complex system such as the RCM's.

124. Finally, it was the almost unanimous view that the current distribution of UN regular budget resources was not commensurate with the responsibilities, distribution of tasks and performance of work by the three offices – OSAA, DPI and ECA - on a day-to-day basis, in support of the AUC, NEPAD, the RECs and the TYCBP. All the beneficiary institutions stated that within the context of the TYCBP, their closest contact with the UN, outside of their cluster activities, was through the ECA. The beneficiary institutions found it difficult to show how the funded activities of OSAA and DPI under Section 11 of the Programme Budget had contributed in adding value to their work or in helping them build capacity. There is need for resources set aside to serve the beneficiaries, to be brought closer to them.

125. It may well be argued that the mandates of all three offices had been more clearly defined vis-à-vis NEPAD than the TYCBP, in which case there would be need for these mandates to be re-examined and re-aligned to fit the new realities. Programme budgeting would also have to be adjusted accordingly.

## f. Findings of a Questionnaire Survey

126. A questionnaire survey was conducted to aid the review. It sought to solicit views and opinions on various aspects of the implementation of the TYCBP among those involved in the processes and mechanisms laid down for that purpose. Three main areas were targeted: information and knowledge about the TYCBP and the actual and perceived roles and responsibilities of the concerned institutions; opinions regarding the effectiveness of the TYCBP, the extent to which its objectives have been met, and problems and challenges encountered; and the impact and effectiveness of the mechanisms put in place for its implementation, i.e. the RCM, its clusters and sub-clusters.

127. Thirty-seven stakeholder institutions were surveyed. Returns were received from 16 respondents, representing a response rate of 43 per cent. The findings of that survey are presented below.

128. On the objectives of the TYCBP, the responses indicate that there was a very clear understanding among those individuals involved in the processes, of what the programme set itself out to achieve, namely to support the AUC, its NEPAD programme and the RECs, in their bid to strengthen their institutional capacity to enable them work in partnership with the UN, in a collaborative, coordinated and concerted manner in furtherance of their common objectives of peace, security, good governance and development for the African continent.

129. However, on the meaning of "capacity building" in the context of the TYCBP, there was some variation. Most understood the term to mean training and human resource development. Others added to these the provision of technical assistance, or of financial resources, or more generally, the availability of the "necessary institutional frameworks". There would be need for all involved to come to a common understanding of the term, in order to ensure that a clear conceptual framework to guide action on the implementation of the TYCBP is agreed upon.

130. Knowledge of, and information on the TYCBP is an important area for which substantial resource outlays have been made. Unfortunately, although a majority of the individual respondents (themselves, most likely participants in the RCM or in cluster or sub-cluster activities) reported having a very good (23.5%) or good (47.1%) knowledge of the TYCBP, as much as a quarter said that generally, within their respective organizations, it was poorly known, while a full 88% reported that its objectives and expected achievements were also not well understood.

131. While 64.3% claimed having undertaken capacity building activities with the beneficiary institutions, as much as 75% admitted that these did not adequately address the capacity building needs of the recipients. The UN agencies reported having provided material, financial and technical assistance to the beneficiary institutions, and a third of the beneficiary institutions reported having received such assistance at their own request.

132. More than half the respondents (53.8%) believed that the design of the TYCBP itself (or rather its lack) rendered it difficult for its objectives to be met, and a full 100% ascribed another reason for some of this difficulty, to an inadequate provision of resources. The vast majority of respondents, (84.6%) were of the view that stakeholders had failed to play their role effectively towards the implementation of the TYCBP. As such, most respondents (58.3%) rated programme implementation as only "fair".

133. Almost all respondents (88%) acknowledged the usefulness of the RCM with 50% actually describing it as "very useful". 76.5% thought it would be valuable to have such a mechanism replicated at the sub-regional level. However, 69% faulted the working methods of the RCM, and considered them inadequate in supporting the TYCBP. 56.3% thought the clusters should be strengthened if they were to more meaningfully support the TYCBP. However, most of the respondents (85.7%) admitted that steps had already been taken by their respective clusters to develop joint business plans and undertake joint programming and budgeting in a bid to enhance coherence in the development of programmes.

134. The majority of respondents (73.3%) considered that the frequency of cluster meetings was too low – a view that must be taken into serious account in any actions designed to strengthen the RCM.

135. The participation of clusters at RCM meetings was considered "very useful" (50%), or useful (35.7%) by the vast majority of respondents. And on the important question of clusters' follow-up actions on RCM decisions, 45.5% of respondents thought that they were good, while a full 50% rated them "very good". That aside, respondents were of the opinion that if the RCM processes were made to function more effectively, they would certainly help to maximize the impact of UN system-wide support to the AUC and its NEPAD programme.

136. Inter-agency consultation and consultation between the UN and the beneficiaries was perceived to be inadequate (rated "moderate" – 56.3% - to "low" – 31.3%). This may have to do with some of the constraints faced by the secretariat, whose capacity to effectively respond to the requirements of the RCM was considered by the vast majority of the respondents (87%) to be weak.

137. Information flow and communication between the clusters and the secretariat were thought to be inadequate or poor, by 62.5% of respondents; 56.25% considered them inadequate within, and 53.3% between clusters.

138. Forty-seven per cent of respondents found leadership and coordination by the secretariat adequate, while 40% saw them as inadequate. At the level of clusters, only 33% considered them adequate, while 67% rated them either inadequate or poor. With the sub-clusters, the distribution was 37.5% and 62.5% respectively.

139. Ownership and leadership have been recurring themes throughout this review. It was the view of the respondents that ownership of the TYCBP should mean that the AUC, the RECs and NEPAD "exercise authority" over the identification of needs, the setting of priorities and the charting out of strategies for the implementation of the TYCBP. They should "set the agenda for the UN agencies and other stakeholders to follow". They should then drive the process and ensure that actions lead towards the fulfillment of all set goals and objectives. This is what its leadership in the initiative should entail.

140. It is instructive that only one respondent stated categorically that the AUC and the RECs had displayed ownership of the programme. With the exception of two others who could not tell, all the others ascribed ownership of the TYCBP to the UN agencies. Some respondents were of the view that in order to address this important problem, the beneficiary institutions should be assigned greater or more prominent roles in the RCM processes, and that there should be more information dissemination within their respective institutions on the activities of the TYCBP, particularly at the level of senior management.

141. Turning to the question of challenges faced, virtually all the respondents pointed to the inadequate expression of ownership and show of leadership by the beneficiary institutions. Added to this, a large number singled out financial resource constraints on the work of the RCM and its clusters. Information dissemination across clusters was also mentioned, as well as the absence of joint planning, programming and budgeting.

142. Some respondents were of the view that the TYCBP should be financed from the UN regular budget. A few thought that a fund for capacity building should be created into which voluntary contributions by all institutions involved and other partners could be made. The idea of a donors conference of the TYCBP was even put forward.

143. Regarding the roles and responsibilities of the various stakeholders, the view was unanimous that at the regional level, the AUC and its NEPAD programme should claim ownership and lead the entire process, providing strategic direction, guidance and oversight, setting the agenda and ensuring that actions on the TYCBP are strongly coordinated and focused on its Strategic Plan of Action. At the sub-regional level, the RECs, in addition to assuming all of these roles and responsibilities, should also have some responsibility for implementation of decisions and programmes.

144. The responsibility of UN system organizations in the implementation of the TYCBP should be to support – not to lead – by providing the requisite technical, financial and material inputs. They should also strengthen advocacy for the programme, mobilize resources for it, and increase their communications and public information activities in its favour.

145. Finally, from among the six priority areas, the stakeholder institutions by their own rating, chose the area of peace and security as being of topmost priority in the implementation of the TYCBP. This was followed by social, economic, cultural and human development, and activities in

support of human rights. They also overwhelmingly (73%) rated TYCBP activities in peace and security to have been the most successful of all the activities undertaken in the programme's six areas of priority. This was followed (42%) by activities in the field of social, economic, cultural and human development, and then political, legal and electoral matters (31%).

146. The survey thus reinforces the views and opinions gathered from other sources, particularly the consultations with stakeholders, in the course of carrying out this review.

## H. Conclusions, Recommendations and the Way Forward

147. There is general agreement on the side both of the UN system organizations and of the African regional and sub-regional institutions, that at this juncture, reforms and restructuring are necessary, if the effort to better coordinate UN actions, enhance coherence and increase cost effectiveness and impact through the implementation of the TYCBP, is to achieve meaningful results.

148. The main conclusions to be drawn from the findings of this review are that:

- a. The absence of a programme – a body of activities to be undertaken within a given time frame and at a certain cost - has adversely affected efforts at implementation of the TYCBP.
- b. There has been a lack of common understanding of the concept of capacity building, which has contributed to making it difficult for stakeholders to focus together on key areas of action.
- c. Among the stakeholder institutions, knowledge of, and information about the TYCBP has been severely limited.
- d. Weak leadership and an inadequate demonstration of ownership on the part of the beneficiary institutions have affected overall performance on the TYCBP.
- e. UN support structures have as yet to be aligned with the requirements of the TYCBP, as the mandates provided to Section 11 programmes of support to NEPAD (OSAA, DPI and ECA), have become obsolete with the coming to the fore of the TYCBP. They now have to be reviewed. Financial resource provisions would equally need to be re-aligned accordingly.
- f. The RCM and its clusters, though relevant and very useful, would need to be strengthened and rendered more focused on the TYCBP.
- g. The secretariat of the RCM requires a new, broader mandate and significantly increased resource allocations, to allow it effectively carry out its executive functions towards the implementation of the TYCBP.
- h. The RCM and cluster processes need to be funded from regular, predictable sources as well as from contributions from participating agencies of the UN.

*Clarification on: CB Resources (the RCM component is not reflected in the AU budget - mechanisms must be found to reflect this ex ante in budget programming & implementation ownership of the prog; info. sharing*



- i. The NEPAD Agency requires much greater direct support to enhance its institutional capacity.
- j. The RECs would benefit greatly from the establishment of a sub-regional coordination mechanism.

149. It should be recalled that a number of studies and reports<sup>25</sup> undertaken recently on aspects that relate to the subject of the present review, had themselves highlighted some of these issues and had made a set of recommendations that are pertinent to the system-wide effort to improve the UN's engagement with Africa. These had touched, *inter alia*, on issues of coordination, interface and synergy between the three Section 11 sub-programmes (OSAA, DPI and ECA) and among stakeholders; problems of focus and relevance of programme interventions; weaknesses in the advocacy, information and communications strategies; inadequacy of resource mobilization and support; difficulties in securing ownership, leadership and buy-in from the beneficiary organizations; and the need for restructuring and reform.

150. These were all found to be useful and pertinent to the present review and were taken into consideration in making the recommendations that now follow.

## a. The Framework Programme

151. a. The Framework lays down the guidelines within which the UN, the AUC, NEPAD and the RECs can work together to formulate and implement programmes aimed at strengthening the institutional capacities of the beneficiary organizations. It is NOT, itself, such a programme. Therefore, it is recommended that, without prejudice to the attempts being made within clusters to come up with business plans, the AUC, NEPAD and the RECs, drawing upon the UN system-wide resources at their disposal within the various RCM clusters, and based on their respective strategic and other plans, formulate medium-term plans and programmes of action for capacity building and institutional strengthening, on which the organizations, funds, programmes and offices of the UN system could focus their activities and on which they would target their support.

b. Efforts at joint programming between the UN system and AUC based on the priorities of AU and its NEPAD programme, and priorities of RECs should be strengthened. For the RECs, the multi-year programmes with ECA Sub-regional Offices (SROs) could serve as a starting point.

c. The definition of capacity building as proposed in this report should be considered for adoption by all stakeholders during the 11<sup>th</sup> RCM-Africa.

25 See the OIOS Evaluation Report, op. cit.; the JIU, Louis Fall Report, op. cit.; the 10th RCM Report, op. cit.; "Final Report of a Review Meeting on Measures to Enhance the Regional Consultation Mechanism of United Nations Agencies and Organisations Working in Africa in Support of the African Union and its NEPAD Programme", op. cit.; "Report of the Secretary General on United Nations Support of African Union Capacity Building", op. cit.; "Report of the High Level Meeting on Regional Integration and the Establishment of a Sub-regional Coordination Mechanism for the UN System-wide Support to AUC/NEPAD/RECs/IGOs in Eastern and Southern Africa", op. cit..

## **b. UN Support Structure and the TYCBP: Mandates and Responsibilities**

152. a. The organizational structure within which support to the TYCBP is to be provided was put in place in support of NEPAD, not the AUC or the RECs or the TYCBP. The latter were added on years later. Equally, the mandates of the headquarters offices - OSAA and DPI primarily - that are to provide this support within that structure, were given in respect of support to NEPAD, not the TYCBP, the AUC or the RECs. Consequently, even after the coming into force of the TYCBP, and after a number of GA and SC resolutions and management instructions calling for support to the TYCBP, the New York offices continue to operate within their old mandates, focusing their activities almost exclusively on NEPAD. NEPAD has since been fully integrated into the AUC. This development, added to the requirements for support to the TYCBP, calls for a re-structuring to be undertaken and for the mandates of OSAA, DPI and ECA under Section 11, to be reviewed and re-aligned with the prevailing realities on the ground and the needs of the TYCBP. Their functions should also be re-defined and their resource allocations restructured accordingly.<sup>26</sup>

b. RCM-Africa Secretariat should convene a meeting to establish the terms of reference for a consultative group to engage with AUC and clearly define and update issues related to mandates, roles and responsibilities, resources, and leadership of AUC in the TYCBP-AU. This process should be completed by the end of the first quarter of 2011;

## **c. Reconfiguring the RCM**

153. The success of the TYCBP depends on how effectively the RCM operates and discharges its duties. Its yearly meetings should be devoted to policy matters, reviewing the activities of, and receiving reports on the work of its operational instruments - the clusters and sub-clusters - and providing them with overall guidance and direction.

154. As has now become the practice, each meeting of the RCM should devote a session to a theme that is of relevance to the beneficiaries, and is topical. Perhaps the next thematic session should be on capacity building, to allow for discussion and a common understanding of the concept within the context of the TYCBP, for a rich exchange of experiences, and for all stakeholders to be on the same page once and for all.

155. Knowledge about the TYCBP and involvement in its implementation is extremely limited at senior management levels of the AUC. In order to increase the involvement of the organization at that level, it is recommended that, at the next meeting of the RCM, a session be devoted

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26 The Expert Group Meeting of November 2010 recommended that the newly created UN Office to the AU (UNOAU) be included among the Offices whose mandates and functions should be reviewed in light of the new developments and the prevailing realities.

to a discussion of the TYCBP with the Commissioners and Department Directors of the AUC, the leadership of the NEPAD Agency and of the RECs.

#### **d. The Cluster and Sub-cluster System**

156. To enhance ownership and ensure leadership of the process, responsibility for coordinating/chairing clusters – the level at which the real substantive work of the RCM is undertaken – should be turned over to the relevant Departments of the AUC. An appropriate UN agency, organization, programme, fund or office will then serve as vice-coordinator/chair. Sharing of best practices in the functioning of clusters should be part of the agenda of RCM-Africa meetings, and RCM-Africa should endorse AUC's commitment to assume greater ownership of clusters and sub-clusters.

157. Clusters should meet on a quarterly basis at least, and sub-clusters should meet in between the regular meetings of clusters. A calendar of regular meetings of each cluster should be drawn up, and maintained at the RCM Secretariat for ease of planning for all concerned.

158. All participating cluster members on the UN side, should ensure that RCM and cluster work are adequately provided for in their regular work programmes and programme budgets. Their performance within the mechanism should be taken into account in their performance reviews.

159. The RCM secretariat should circulate to all RCM members the reports of all cluster meetings, so as to enhance coordination and the sharing of information across clusters.

#### **e. Strengthening The Secretariat**

160. The Secretariat of the RCM should remain at ECA and should be strengthened to allow it perform its executive functions more effectively. At present, because of its capacity constraints, it has not been able to reach its full potential. It should be noted that at the 10<sup>th</sup> RCM meeting, it was recommended that the RCM secretariat be transformed into a joint AUC/UN secretariat.

161. The Secretariat should now be responsible for convening and substantively servicing the meetings of the RCM and of each cluster; undertaking policy research and providing policy guidance; preparing and disseminating reports; carrying out monitoring and follow-up activities; undertaking advocacy, communication and public information activities in furtherance of the TYCBP; mobilizing resources for RCM activities; and conduction periodic reviews and evaluation of the TYCBP and its implementation mechanisms.

162. Its resource allocations from the UN regular budget should be significantly increased to enable it perform these new functions effectively.

163. Stakeholders on the UN side should also contribute resources to support its activities.

164. Each stakeholder institution should designate a focal point and liaison with the secretariat, to coordinate the work of the RCM in that particular institution. Coordination among AUC Departments and between the Commission and RECs should be strengthened.

165. Resources for communications and the dissemination of information on the activities of the beneficiary organizations and on the TYCBP should be concentrated within the RCM secretariat in Addis Ababa and should be used *inter alia* for building the institutional capacity in mass communications and advocacy of the beneficiary organizations. At present, this capacity is seriously inadequate especially in the RECs and the NEPAD Agency.

166. The secretariat should be given the mandate for the implementation of the TYCBP for the AU and its NEPAD Programme. The organizational unit within which it is housed at ECA would have to be re-designated along the lines of this new mandate.

167. To effectively play its role in support of AU and its NEPAD Programme at the regional and sub-regional levels, the Secretariat needs to be well-resourced in ways that would enable it provide more effective substantive support to the clusters of the RCM; foster sub-regional coordination and integration; improve UN cooperation and coordination with AU, NEPAD, AfDB and the RECs; and monitor and evaluate the TYCBP as well as RCM-related activities and actions.

168. The staff compliment of the secretariat should also be significantly strengthened. It should be recalled that OIOS and the JIU had, in their separate reports on the RCM, also made strong recommendations along these lines. The Executive Secretary of ECA should therefore be requested to initiate action to begin the process of having this recommendation implemented without delay.

## **f. Financial Support to the RCM and its Processes**

169. More formal arrangements should be made for the funding of meetings of the RCM. So far, much of this support is provided by ECA with support from UNDP. Provision should now be made in the regular programme budget to cover the work of the RCM. Appropriate administrative actions should be taken towards the prompt implementation of this recommendation. Ways should be explored to attract a larger share of AU and UN resources in support of the AUC Strategic Plan (and related priorities and programmes); the TYCBP-AU; and the RCM-Africa Secretariat in particular as it is the key enabler of the TYCBP-AU. Participating partner organizations, in particular the AfDB and the World Bank should also make contributions in support of RCM activities based on a formula to be proposed by the secretariat.

170. UNDP, as a key player in system wide coherence and in accordance with the umbrella agreement it signed with the Regional Commissions, should be encouraged to further strengthen its partnership with ECA by contributing more substantially to the RCM,

## **g. A Special Programme for the NEPAD Planning and Coordination Agency**

171. UN resource support to African regional programmes was originally built around NEPAD, and heavily skewed in its favour even today. In 2010, NEPAD was integrated into the AUC and designated the "NEPAD Planning and Coordination Agency", a specialized agency of the AU. This should not mean that the special relationship that was forged with it years ago should be terminated abruptly. NEPAD is still a fledgling agency that could do with all the capacity building support the UN can provide in a focused and coordinated manner. The RCM should formulate a special medium-term programme of support based on NEPAD's expressed priority needs in institutional strengthening, including assisting in its transition into an agency of the AUC.

## **h. Sub-regional Coordination Mechanism**

172. Under the leadership of the ECA sub-regional offices, attempts have already been made in the Eastern and Southern and the Central Africa sub-regions, to create a sub-regional mechanism to coordinate UN activities with the RECs. The recommendations of the March 2010 Kigali, Rwanda High Level Meeting on the establishment of a sub-regional coordination mechanism, should be implemented without undue delay, after the resource implications have been clearly spelled out and appropriately addressed.

173. In addition, action should be taken to begin consultations on the feasibility of establishing a similar mechanism in the West and North Africa sub-regions.

174. It should be left to each sub-region to determine the structure of its own mechanism as well as its method of work.

175. These processes should in all cases, be linked to the Regional Directors Teams (RDTs).

176. RCM-Africa Secretariat, in consultation with UN agencies and ECA SROs, should provide overall guidance in the establishment of SRCMs in all sub-regions. The Secretariat should guide RECs, individually or collectively, in deciding on how to engage themselves in SRCMs.

177. The RCM-Africa Secretariat should approach RECs that are not yet part of a SRCM by March 2011 to sensitize them on how to engage in the process.

178. By March 2011, RECs, individually or collectively (group of RECs), should decide on a preliminary programme based on which they should meet with UN partners to develop a work programme for the TYCBP.

## **i. Reporting Provisions:**

179. A report on the implementation of the TYCBP should be submitted to the Assembly of the African Union every year, as is the case with the present reporting obligations to the UN General Assembly.

## **j. RCM and Global Development Architecture Cooperation**

180. The MDG Africa Steering Group and RCM-Africa should attend each others meetings and provide briefings as necessary to enable information sharing and enhance the outcomes and impacts of both frameworks.

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# ANNEX 1: Declaration Enhancing UN-AU Cooperation: Framework for the Ten-Year Capacity Building Programme for the African Union

United Nations

A/61/630



**General Assembly**

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**Sixty-first session**

Agenda item 108 (a)

**Cooperation between the United Nations and regional  
and other organizations: cooperation between the  
United Nations and the African Union**

**Letter dated 11 December 2006 from the Secretary-General  
addressed to the President of the General Assembly**

I wish to apprise you of the Secretariat's efforts relating to the implementation of General Assembly resolution 60/1 (2005 World Summit Outcome), in which Member States broadly addressed themselves to meeting the special needs of Africa and agreed to the development and implementation of a 10-year plan for capacity-building with the African Union.

In furtherance of the 2005 World Summit Outcome, Mr. Alpha Oumar Konaré, the Chairperson of the African Union Commission, and I signed in Addis Ababa, on 16 November 2006, a Declaration entitled "Enhancing UN-AU Cooperation: Framework for the Ten-Year Capacity-Building Programme for the African Union" (see annex). The signing of the Declaration was the outcome of extensive consultations between the African Union Commission and United Nations agencies and departments. The United Nations side included the Economic Commission for Africa, the Department of Political Affairs, the Department of Peacekeeping Operations, the Office of the Special Adviser for Africa and other United Nations field presences at the African Union (AU).

The Declaration builds on previous agreements between the United Nations and the African Union and the Organization of African Unity before it. It reflects the common commitment of the United Nations and the African Union to maintaining peace and human security, promoting human rights and post-conflict reconstruction and advancing Africa's development and regional integration. Finally, it provides a holistic framework for United Nations system-wide support to the capacity-building efforts of the AU Commission and African subregional organizations (the regional economic communities).

Both sides have agreed on strategic priorities and political aspects of the United Nations-African Union relationship within the framework of the 10-year programme of cooperation, based on African Union priorities and United Nations comparative advantage. They also determined United Nations programmatic

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priorities and goals with respect to United Nations interaction with the African Union, including, but not limited to, capacity-building.

Members of the United Nations team also agreed on United Nations representation at the African Union and coordination of United Nations assistance to the African Union. I should like to inform you that, on that occasion, Mr. Konaré, while welcoming existing United Nations-African Union cooperation, expressed very strong views about the need for the United Nations and other partners to act in ways that would enhance and promote African integration, including by helping the AU Commission to become a "real executive body". Mr. Konaré emphasized that if the African Union had the capacity to undertake certain tasks on the African continent, it would unburden the United Nations.

I should like to draw your attention to the fact that United Nations-African Union cooperation within the framework of the 10-year capacity-building programme covers a much broader spectrum than that which existed between the United Nations and the defunct Organization for African Unity. As the scope of AU activities has increased, so have the needs for United Nations assistance. For the objectives outlined in the Addis Ababa Declaration to be achieved, adequate funding will be essential. In this context, I would like to solicit your support and that of the General Assembly as a whole for its endorsement and the legislative authority for its implementation. I would also like to request the Assembly to consider providing, as needed, additional resources that may be required by the Secretariat and other United Nations agencies engaged with the African Union in the fulfilment of the objectives defined by the World Summit with respect to meeting the special needs of Africa.

I should be grateful if you would have the present letter and its annex circulated as a document of the General Assembly.

*(Signed)* Kofi A. Annan

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Annex

**DECLARATION**

**ENHANCING UN-AU COOPERATION;  
FRAMEWORK FOR THE TEN-YEAR CAPACITY BUILDING PROGRAMME  
FOR THE AFRICAN UNION**

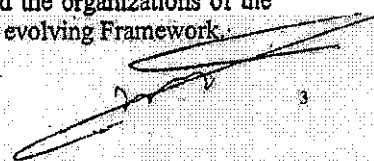
We, the Secretary-General of the United Nations and the Chairperson of the Commission of the African Union, united in our commitment to the maintenance of international peace and security and the enhancement of development on the African continent, and desiring, for that purpose, to develop stronger relationship between our two organizations by establishing a basis for expanding and strengthening consultations and cooperation between our respective secretariats, have agreed to the following in furtherance of the Cooperation Agreement between the United Nations and the Organization of African Unity of 9 October 1990.

1. In view of the persistent needs of the African Union to address the peace and security situation in Africa, we underscore the importance of cooperation between the United Nations (UN) and the African Union (AU) in promoting international peace and security on the African continent, especially programmes and activities that take into account the special needs of Africa, which was reaffirmed by the 2005 World Summit Outcome. To this end, cognizant of the grave toll conflict is taking in many parts of Africa, we undertake to focus our efforts, with priority, on conflict prevention, mediation and good offices, peacekeeping and peacebuilding. We have together identified key areas for collaboration in these sectors so to build the capacity of the African Union and ensure that our organizations work effectively together to meet the challenges to peace and security in Africa.

2. Bearing in mind the wide range of fundamental challenges facing Africa, and pursuant to the World Summit Outcome, we further undertake to deepen and broaden the cooperation between our two organizations, as appropriate, through consultations between us and senior officials, and talks at the staff level, as well as through the implementation of the projects/programmes within the context of the evolving Framework for the Ten Year Capacity Building Programme for the African Union (the Framework). We reiterate that the evolving Framework should be conceived as the UN overall strategic framework for cooperation with the AU, and whose main objective should be to enhance the capacity of the AU Commission and African subregional organizations to act as effective UN partners in addressing the challenges to human security in Africa, focusing on the areas described in paragraph 6 below.

3. We reaffirm that the evolving Framework should cover all aspects of the cooperation between the UN and the AU, including but not limited to the following areas: peace and security (including crime prevention); assistance in institution building, and political and electoral matters; peacekeeping operations; governance, human rights and the rule of law; peace-building; humanitarian response, recovery and food security; social, cultural, and health issues; and the environment.

4. We recognize that the ongoing cooperation between the AU and the organizations of the UN system at the AU headquarters is the operational component of the evolving Framework.



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5. We agree to align the support of the organizations of the UN system for New Partnership for Africa's Development (NEPAD) with the evolving Framework.

6. Our cooperation will continue to develop in a practical fashion, taking into account each organization's specific expertise and capabilities, and contributing to improving collaboration among all elements of the international community's response to the challenges on the African continent. We are also prepared to share best practices and lessons learned. In the context of the evolving Framework, we agree to give special emphasis to enhancing the AU's capacities in the following areas:

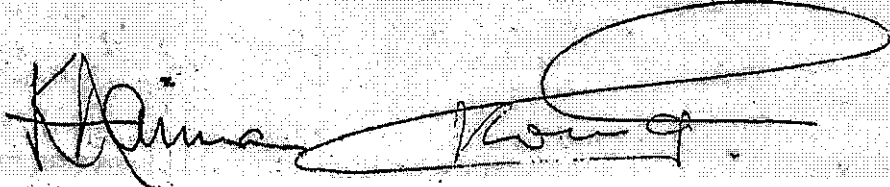
- a) Institution-building, human resources development and financial management;
- b) Peace and security;
- c) Human rights;
- d) Political, legal and electoral matters;
- e) Social, economic, cultural and human development;
- f) Food security and environmental protection.

7. We agree that existing cooperation arrangements between the organizations of the UN system and the AU will continue. In addition, new cooperation projects/programmes, as well as long-term partnership arrangements with the AU and the African sub-regional organizations, should be designed within/in the context of the evolving Framework and should be consistent with their specific mandates and area of competence.

8. We undertake to implement the ongoing and envisaged UN-AU cooperation programmes on the basis of the evolving Framework, the detailed Joint African Union-United Nations Action Plan for United Nations Assistance to the African Union Peacekeeping Capacity Building and all subsequent sectoral action plans.

9. We agree to periodically review the evolving Framework at three-year intervals.

Done at Addis Ababa, on 16 November 2006.



Kofi A. Annan  
Secretary-General of the United Nations

Alpha Oumar Konaré  
Chairperson of the African Union  
Commission

## ANNEXE 2 : The Nine Thematic Clusters of the Regional Coordination Mechanism in Africa (RCM-Africa) 2010

No.	CLUSTER	COORDINATOR	SUB CLUSTER	MEMBERS
I.	INFRASTRUCTURE DEVELOPMENT	ECA Co-Coordinator: AUC		AUC, NEPAD AGENCY, AfDB, ECA, FAO, IAEA, IMO, ITU, UNCTAD, UNDP, UNEP, UNESCO, UNICEF, UN-HABITAT, UPU, WHO, WIPO AND WMO
		UNIDO	Water	
		ECA	Energy	
		ECA	ICT	
		ECA	Transport	
II.	GOVERNANCE	UNDP Co-Coordinator: AUC		AUC, NEPAD AGENCY, AfDB, ECA, DPA, DPKO, IMF, OCHA, OSAA, UNDESA, UNDP, UNFPA, UNHCR, UNICEF, UNOHCHR, WORLD BANK, AND WFP
		ECA	ECONOMIC GOVERNANCE	
		UNDP	POLITICAL GOVERNANCE	
III.	SOCIAL AND HUMAN DEVELOPMENT	UNIFEM Co-Coordinator: AUC		AUC, NEPAD, AfDB, ECA, FAO, IAEA, ILO, IOM, OCHA, UNDP, UNAIDS, UNESCO, UNICEF, UNIDO, UNIFEM, UNFPA, UNHCR, WFP, WHO AND WIPO
		WHO/UNAIDS Co-Coordinator: AUC	Health and HIV/AIDS, Malaria, TB and other Infectious Diseases	
		UNICEF/UNESCO Co-Coordinator: AUC	Education and Human Resources	
		UNIFEM/UNFPA Co-Coordinator: AUC	Gender and Development	
		UNHCR/IOM Co-Coordinator: AUC	Social Welfare , Protection and Human Trafficking	
		ILO Co-Coordinator: AUC	Labour and Employment	
		UNESCO Co-Coordinator: AUC	Sports and Culture	
IV.	ENVIRONMENT, POPULATION AND URBANIZATION	UNEP Co-Coordinator: AUC		AUC, NEPAD AGENCY, AfDB, ECA, IOM, IMO, UNEP, UNESCO, UNFPA, UN-HABITAT, AND WMO
V.	AGRICULTURE, FOOD SECURITY & RURAL DEVELOPMENT	FAO Co-Coordinator: AUC		AUC, NEPAD AGENCY, AfDB, ECA, FAO, IAEA, UNCTAD, UNDP, UNESCO, UNIDO, UNHCR, WFP, IFAD, WIPO, WORLD BANK AND WTO
VI.	SCIENCE AND TECHNOLOGY	UNESCO Co-Coordinator: AUC		AUC, NEPAD AGENCY, AfDB, ECA, UNESCO, WIPO, UNIDO, FAO, OSAA, UNEP, WORLD BANK, CGIAR, UNDP, UNCTAD, UNU/INTECH, AND WHO
VII.	ADVOCACY AND COMMUNICATIONS	OSAA Co-Coordinator: AUC		AUC, NEPAD AGENCY, AfDB, ECA, UNEP, UNON, UN-HABITAT, WORLD BANK, UNAIDS, UNHCR, UNESCO, ITU, UNDP, UNFPA, UNICEF, OSAA, WFP, IOM AND DPI
VIII.	PEACE AND SECURITY	DPA Co-Coordinator: AUC		AUC, NEPAD AGENCY, AfDB, ECA, DPA, UNHCR, ILO, UNDP, OHCHR, FAO, IOM, DPKO, WFP, UNAIDS AND WHO
		DPKO Co-Coordinator: AUC	Peace and Security Architecture of the AU	
		UNHCR Co-Coordinator: AUC	Post conflict Reconstruction and Development	
		OHCHR Co-Coordinator: AUC	HUMAN RIGHTS, JUSTICE, AND RECONCILIATION	
IX.	INDUSTRY, TRADE AND MARKET ACCESS	UNIDO Co-Coordinator: AUC		AUC, NEPAD AGENCY, AfDB, ECA, UNIDO, UNCTAD, ITC, ICF, WTO, WIPO, UNDP, UNESCO, IAEA, UNEP, FAO, ILO, UN-HABITAT AND WORLD BANK

## ANNEXES 3: Questionnaire for the Review of the UN Ten-Year Capacity-Building Programme for the African Union

Dear Respondent,

On 16 November 2006, the Declaration on "Enhancing UN-AU Cooperation: Framework for the Ten Year Capacity Building Programme for the AU" (hereinafter known as "the Programme") (A/61/630) was signed by the United Nations Secretary-General and the Chairperson of the African Union Commission (AUC). Building on previous agreements, the Declaration was aimed at enhancing cooperation between the United Nations and the Africa Union in their areas of competences and in conformity with their respective mandates. The Framework Agreement provides a holistic context for the UN system to support the capacity building efforts of the AU, including the Regional Economic Communities (RECs), on the basis of the latter's needs and strategic priorities. According to the Declaration, the Secretary-General of the UN and the Chairperson of the AUC agreed to periodically take stock of efforts on the implementation of the Programme at three-year intervals. The Programme has been operational for more than three years now and is due for review.

This questionnaire is thus designed to aid the review process by collecting data and information on the implementation of the Programme, with a view to addressing the views, opinions and concerns of all stakeholders. Considering the significance of the review, you are kindly requested to provide your responses by completing the questionnaire and forwarding your answers before 20<sup>th</sup> July 2010. Kindly return to:

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Please be assured that all information provided will be treated with the utmost confidentiality.

Thank you for your kind cooperation.

Name of the organization: \_\_\_\_\_

Name of respondent (optional): \_\_\_\_\_

Position/Title (optional): \_\_\_\_\_

Tel (optional): (work) \_\_\_\_\_ (Mob) \_\_\_\_\_



**I. General: Knowledge of the Programme, and the roles and responsibilities of your organization in its implementation**

1. How do you rate your familiarity and knowledge of the Programme?

a) Very good

b) Good

c) Fair

d) Inadequate

Any reason for this?

2. How well known is the Programme in your organization?

a) Very well

b) Fairly well

c) Well

d) Poorly

Any reason for this?

3. Do you believe that the Programme is well understood (in terms of its objectives and expected achievements) by all stakeholders?

a) Yes

b) No

If "no", please give reasons why?

4. What do you think are the objectives of this Programme?

5. What do you consider to be the role(s) of your organization in achieving the objectives stated in (4)?

a) Leadership and guidance

b) Implementing body

c) Recipient/beneficiary

d) No clear roles at all

e) Other (please specify) \_\_\_\_\_

6. What does the term "ownership" of the Programme mean to you?

7. In your view, which organization(s) has displayed ownership of the Programme?

8. From among the Programme's area(s) of focus please indicate those that are of particular relevance to the work and mandate of your organization

(Please list in order of priority)

**II. Implementation: Views, opinions and understanding of the effectiveness of the Programme in achieving its intended objectives; progress made and challenges encountered during its implementation.**

9. Please explain briefly your understanding of "capacity building" in the context of the Programme.

10. Do you think the Programme has adequately addressed the issue of capacity in the AU Commission and the RECs?

a) Yes

b) No

If "no" please explain

11. Between 2006 and 2009, has your organization undertaken capacity building activities in the context of the Programme?

a) Yes

b) No

If "yes", please describe the activities undertaken

If "no" please explain

12. Paragraph 6 of the Programme provides for special emphasis to be given to enhancing the AU's capacities in the areas listed below. How do you rank these in relation to your organizations' specific areas of focus? Please rank them from 1 for the highest to 6 for the lowest.

- ☐ a) Institution-building, human resource development and financial management;
- ☐ b) Peace and security;
- ☐ c) Human rights;
- ☐ d) Political, legal and electoral matters;
- ☐ e) Social, economic, cultural and human development;
- ☐ f) Food security and environmental protection;

**13. (FOR THE AUC, RECS AND NEPAD AGENCY ONLY)** Between 2006 and 2009, and in the context of the Programme, has your organization received any financial, material or technical assistance from the United Nations or any of its agencies?

a) Yes

b) No

If "yes", please briefly describe

If "no", is there any explanation?

**14. (FOR THE AUC, RECS AND NEPAD AGENCY ONLY)** If your answer to Question 13 is "yes", was this assistance provided at the request of your organization?

a) Yes

b) No

Please explain

**15. (FOR THE AUC, RECS AND NEPAD AGENCY ONLY)** If "yes", how has this assistance responded to the priority objectives and needs of your organization?

**16. (FOR THE AUC, RECS AND NEPAD AGENCY ONLY)** Between 2006 and 2009 and in the context of the Programme, has your organization made any requests for assistance to the UN or any of its agencies that have not been attended to?

a) Yes

b) No

If "yes", was the request for:

a) Technical Assistance

b) Financial Assistance

c) Material Assistance

d) Other (specify please) \_\_\_\_\_

**17. (FOR UN ONLY)** Between 2006 and 2009, has your organization provided any financial, material or technical assistance to the AUC, the RECs and NEPAD Agency?

a) Yes

b) No

If "yes", please briefly describe

If "no", is there any explanation?

**18. (FOR UN ONLY)** If your answer to Question 17 is "yes", was this assistance provided at the request of those organizations?

a) Yes

b) No

**19.** Do you think the Programme has been designed in such a way as to make it easy for its objectives to be met?

a) Yes

b) No

Please explain

20. Do you think that the Programme has been resourced adequately to enable it meet its objectives?

a) Yes

b) No

Please explain

21. Do you think all stakeholders have played their roles adequately in implementing the Programme in the last three years?

a) Yes

b) No

Please explain

22. How would you assess the rate of implementation of the Programme in the last three years?

a) Excellent

b) Very good

c) Good

d) Fair

e) Poor

Please provide three main reasons to support your claim

23. What do you consider to be the key challenges encountered in the implementation of the Programme?

**III. The Regional Coordination Mechanism (RCM) was established to coordinate UN-system wide support to enhance the capacity of the AUC, NEPAD Agency and the Regional Economic Communities (RECs) in the context of the Programme.**

24. Does your organization participate in the RCM and in any of its cluster meetings?

a) Yes

b) No

If "yes", please indicate which cluster(s)

If "no", please explain

25. How would you rate the usefulness of the role of the RCM in implementing the Programme?

a) Very useful

b) Fairly useful

c) Useful

d) Not useful

Please explain

26. Do you consider it useful for the implementation of the Programme to develop a coordination mechanism at the sub-regional level?

a) Yes

b) No

If "yes", how do you envisage its composition, method of work and reporting lines and procedures?

27. Do you consider the current arrangement and method of work of the RCM adequate in supporting the implementation of the Programme?

a) Yes

b) No

If "no", what changes would you make? Please explain

28. How would you rate the level of consultation between the UN and the beneficiary organizations under the Programme?

a) High

b) Moderate

c) Low

d) Very Low

Please explain the reason(s) for your answer

29. How would you rate the role of the RCM and its cluster system in supporting the overall implementation of the Programme?

a) Very High

b) High

c) Low

d) Very Low

30. Do you consider the present arrangements with regard to secretariat support to the RCM adequate in meeting the implementation needs of the Programme?

a) Yes

b) No

If "no", what improvements would you make? Please explain

31. Within your Cluster(s), have there been any attempts to prepare joint business plans, or undertake joint programming and budgeting in a bid to enhance coherence in programme delivery?

a) Yes

b) No

If "yes" please elaborate

32. How would you assess the frequency of Cluster meetings and attendance of Cluster members in these meetings?

- a) Very High
- b) High
- c) Low
- d) Poor

Any comments on your answer?

33. What is your assessment of the information flow and communications in the RCM and its Clusters:

- i) Between the RCM Secretariat and Clusters
  - a) Adequate
  - b) Inadequate
  - b) Poor
- ii) Within Clusters
  - a) Adequate
  - b) Inadequate
  - b) Poor
- iii) Between Clusters
  - a) Adequate
  - b) Inadequate
  - b) Poor

If inadequate or poor, what should be done to improve it?

34. What is your assessment of the effectiveness of leadership and coordination provided in the RCM and its Clusters:

- i) At the level of the RCM Secretariat:-
  - a) Adequate
  - b) Inadequate
  - b) Poor
- ii) At the level of Clusters
  - a) Adequate
  - b) Inadequate
  - b) Poor
- At the level of Sub Clusters
  - a) Adequate
  - b) Inadequate
  - b) Poor

If inadequate or poor, explain reasons and what should be done to improve it.

35. Do you provide any contributions (human, financial, technical) to improve the operations of the RCM Secretariat?

- a) Yes
  - b) No
- If "yes", Please explain

36. How useful do you think the participation of the Clusters has been at RCM Annual meetings?

- a) Very useful
  - b) Fairly useful
  - c) Useful
  - d) Not useful
- Please explain

37. How do you assess the follow-up actions taken by Clusters in implementing the recommendations of the RCM annual meetings?

- a) Very good
  - b) Good
  - c) Poor
- Please explain

38. What do you think should be done to improve the working of the RCM and its Clusters (please list in descending order of importance)?

#### IV. General comments and the Way Forward

39. The Ten Year Capacity Building Programme provides for special emphasis to be given to enhancing the AU's capacities in the areas listed below. Between 2006 and 2009, which ones do you think were relatively more successful in their implementation in the context of the Programme? Please rank from 1 (most) to 6 (least).

- \_\_\_ a) Institution-building, human resource development and financial management;
- \_\_\_ b) Peace and security;
- \_\_\_ c) Human rights;
- \_\_\_ d) Political, legal and electoral matters;
- \_\_\_ e) Social, economic, cultural and human development;
- \_\_\_ f) Food security and environmental protection;

40. How best do you think the Programme should be financed?

41. The Programme has several functions: coordination, advocacy, information dissemination, etc. Currently, the resources set aside to carry out these functions are spread between the Office of the Special Adviser on Africa, the Department of Political Affairs, the Department of Public Information (all in New York) and ECA (Addis Ababa). What are your views regarding this distribution of resources, roles and responsibilities and its likely impact on programme delivery?

42. What do you think should be done to improve "ownership" of the Programme?

43. What in your view should be the role and responsibly of the following stakeholders vis-à-vis the Programme?

- i. The African Union Commission
- ii. The Regional Economic Communities (RECs)
- iii. UN System Organizations
- iv. NEPAD Agency
- v. Others (specify please)

44. What do you think should be done to improve the implementation of the Programme in the coming three years or so (please list in descending order of importance)?

45. Do you have any additional thoughts on any aspect of the Programme or on cooperation arrangements between the UN and the AU Commission, the RECs and NEPAD Agency?

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**THANK YOU FOR YOUR TIME AND INPUTS**