

Vienna 3C Appeal

**Coordinated, Complementary and Coherent measures
in fragile situations**

Principles and Aims of Interaction between Government
and Non-governmental Actors

Recommendations

Austrian
 Development Cooperation

Austria · Armed Forces

50 Years Missions Abroad 1960-2010

**Global
Responsibility**
Austrian Platform for Development and Humanitarian Aid



IICP
Institute for Integrative
Conflict Transformation and Peacebuilding

I. Context

Fragile situations¹ call for a coordinated, complementary and coherent approach by all actors on the ground. We, the undersigned, are committed to the recommendations of the 3C Roadmap of 20 March 2009.²

What is our purpose?

Security and development are interdependent. Our engagements should contribute to peace, security and development in a given country/specific region. We therefore welcome the 3C approach of proceeding in a coherent, coordinated and complementary way in fragile situations, in consultation with the government and local civil society concerned. The purpose of the Vienna 3C Appeal is to set out principles and aims of this collaborative approach.

Who are the actors?

The 3C approach is concerned with concerted procedure by state institutions in the diplomatic, development, defence, financial, economic, humanitarian, justice and police communities, as well as non-governmental organisations in the fields of development cooperation, humanitarian aid, human rights protection/promotion, and peacebuilding. This entails specific issues of quality, approach, working principles and access at different levels.

The specific contributions of these actors in fragile situations are described in the Annex.

1 The characteristic feature of fragile situations is the threat of armed conflict in the worst case. Fragility can be understood as persistent dysfunctional relations and disparate expectations between government and society and is a consequence of state failure with respect to authority, legitimacy, legal protection and service delivery, whether for lack of capacity or political will (OECD/DAC: Concepts and Dilemmas of State Building in Fragile Situations: From Fragility to Resilience, 2008: 16ff). The Vienna 3C Appeal therefore pertains to the period before, during and after conflicts and fragile situations where there is a latent threat of escalation.

2 The six principles of the 3C Roadmap are: Strengthening national ownership and national capacities in the states concerned; responding in a timely and appropriate manner to the evolving situation in the partner country; strengthening mutual accountability of partner countries and international actors; reducing the burden of aid management on partner country capacity; making efficient use of limited resources and avoiding duplication and funding gaps; improving and deepening joint learning and increasing response capacities, http://www.3C-Conference2009.ch/en/Home/Conference_Outcomes

What matters to us?

- We acknowledge that development, peace, and security, as well as human rights, are interconnected and mutually reinforcing.³
- Conflict prevention, peacekeeping and post-conflict peacebuilding are closely related to capacity building in state institutions and the promotion of civil society.
- Peace begins with the empowerment of the local population and the strengthening of democracy and human rights.
- The protection and strengthening of the civilian population, as well as the promotion of vulnerable groups, women and children, minorities, and persons with disabilities contributes to the capacity for coping with fragile situations; these groups should be taken into special account.⁴
- The 3C approach contributes more to general progress in a country than an isolated initiative. This process enables the creation of a joint perspective that needs ongoing amendment. There should be no enforced 'alliances' in cooperation.
- The contributions of NGOs should not be seen automatically as part of central, whole-of-government activity. On the basis of joint aims, government and non-governmental actors are open to a complementary, coherent and coordinated approach.

How do we want to treat each other?

As a matter of principle, we believe that all actors must respect, and learn from, each other, as each brings their own independence, expertise, tasks and their specific contribution to achieving the aims of greater peace, security and development.

Coordination between government and non-governmental actors must not run counter to the cooperation requirements of their international partnerships and networks; rather, it should support and complement these.

³ Paragraph 9 of the outcome document of the UN World Summit in 2005

⁴ Based on UN Security Council Resolutions 1325/2000, 1820/2008 and 1889/2009, 1612/2005 and 1882/2009, 1674/2006 and 1894/2009.

II. Principles and aims of acting together

Vienna 3C principles

1. Peace processes are only sustainable when they are also supported and shaped by civil society.
2. We, the undersigned, acknowledge local ownership as a central principle. That means the need for broad local participation and co-determination for sustainable conflict resolution and peacekeeping in decision-making processes. Support of local personal, material and institutional capacities should facilitate the phasing-out of international engagement in fragile situations.
3. We recognise the opportunity for shared visions for engagement in fragile situations, provided that these are based on the needs of those affected, as well as mutual confidence in the capabilities of the international actors and their determination to put these to beneficial use. We can therefore develop coordinated procedures or joint strategies where the respective objectives call for and allow this. In specific situations, however, different approaches can be more appropriate for the target population.
4. We accord priority to conflict prevention to avoid the outbreak or relapse of armed conflicts.
5. We consider joint analysis and assessment and coordinated planning as the decisive starting point for our activities.
6. We support regular briefings and information exchange when required to gain a better grasp of the specific tasks and modes of operation of the various actors.
7. We are committed to avoiding any adverse effects of our measures on the population concerned and natural resources (do-no-harm). To achieve this, it is also important to conduct impact assessments and communicate the findings to other actors.
8. We advocate systematic training and capacity building beforehand.
9. Our actions are conceived for the long term and are responsive to the cultural setting, i.e. we aim for the sustainable, long-term de-escalation and settlement of conflicts.
10. We attach priority to protecting vulnerable groups, as cited in UN Security Council Resolution 1894 (2009).
11. Women play a central role in peace processes and in conflict prevention. We support in particular the aims of UN Security Council Resolution 1325 (2000) and the follow-up resolutions.
12. The unhindered humanitarian access to people in need is of importance to us. We acknowledge humanity, independence, impartiality and neutrality as foremost principles of humanitarian aid. At the same time, we respect the missions and engagement of states and international organisations with other mandates. For peace enforcement and armed peacekeeping missions, however, either a mandate of the United Nations or one of its regional organisations, or a joint request by all parties to the conflict under an international treaty is required.



13. Where multilateral mandates of complex international peace operations necessitate military support for civilian tasks, we attach importance to applying the same principles of developmental sensitivity as well as the respectful treatment of the population and the civilian actors concerned. The performance of civilian tasks by the armed forces shall only take place in those cases in which it is not possible for civilian experts to do so.
14. We advocate improving cooperation between international peace operations and NGOs - including those that explicitly represent women, minorities and other socially discriminated groups - and exploring synergies. In particular, international peace operations that clearly make an important contribution to stabilisation after conflicts should be designed to be more responsive to development goals and care more for local socio-economic needs and conditions. This includes the following:
 - Carrying out the security component in concert with other aims ('no security without development and no development without security')
 - Providing situational support for the aims of other actors where the own mode of operation and tasks permit
 - Effecting visible and sustainable economic improvements at an early stage, especially
 - Promoting local procurement by the international mission
 - Remunerating local staff in keeping with local pay scales
 - Stimulating relevant local private sector activities, especially women-led enterprises.⁵
15. As NGOs add specific value in fragile situations, we also advocate channelling their expertise and relevant experience into multilateral processes modelled on the OECD's⁶ International Dialogue on Peacebuilding and Statebuilding.
16. The scope of cooperation (e.g. coordination, information exchange) between government and non-governmental actors in fragile situations depends on the setting and must be defined in each individual case.

We, the undersigned, agree to continue our dialogue on the Vienna 3C principles and account for lessons learnt and good/best practices.

This appeal represents work in progress and will be developed further jointly.

Vienna, June 2010

⁵ Agreed amendment as of 26 October 2010.

⁶ Interpeace, Background Paper: Voices of civil society organisations (CSOs) on peacebuilding and statebuilding, prepared as an input to the International Dialogue on Peacebuilding and Statebuilding, Dili, Timor-Leste, 9-10 April, 2010, http://www.interpeace.org/images/pdf/interpeace_background_paper_international_dialogue_conf_dili_cso_input_final_23042010.pdf

Annex

Contributions of Government and Non-governmental Actors in Fragile Situations

Contributions of government institutions

Government institutions bear responsibility in planning and implementing their policy strategies and mandates. They ensure coherence among all the necessary national and international policies. This calls for coordination of national and international government institutions in fragile situations, preferably under civic leadership.

In this framework, Austrian government institutions in fragile situations attach priorities to the following:

- Conflict prevention and crisis management
- Peacebuilding and statebuilding
- Dealing with transversal challenges

This includes pursuing the following goals:

- Creating a secure environment to enable other measures to take effect (human security)
- Comprehensive measures for protecting the civilian population: Especially women and children
 - Promoting compliance with international humanitarian and human rights law as well as international law on refugees by all parties to the conflict
 - Guaranteeing free access for humanitarian organisations and relief supplies as well as protecting humanitarian helpers from attack
 - Meeting conditions for the safe, voluntary and dignified return and reintegration of refugees and internally displaced persons
- Guaranteeing individual security and enforcing state monopoly on the use of force
- Building or restoring state institutions under the rule of law through:
 - Justice and security sector reform (SSR)
 - Support for fighting against impunity for grave violations of international humanitarian law and human rights
 - Promotion of mechanisms for coming to terms with the past (e.g. criminal prosecution, truth commissions, reparation payments for victims of violations of human rights, institutional reform)
- Developing democratic and political institutions and concepts as well as a functioning public administration (good governance)
- Assistance in holding democratic elections and reaching consensus
- Promoting independent media and cultural facilities
- Enhancing human rights by strengthening civil society and setting up independent human rights institutions and mechanisms

- Taking measures for disarmament, demobilisation and reintegration (DDR), particularly through:
 - Support for former child soldiers
 - Prevention of illicit trafficking and distribution of small arms
 - Support for demining activities; programmes to support mine and cluster munition victims
- Securing individual basic needs in supplying goods for everyday needs, health and social services, education, infrastructure, etc:
 - Development of a sustainable economy, including strengthening the private sector (taking special account of maximising the socio-economic impacts of international missions)
 - Supporting access to regional and international markets
 - Preservation of sustainable ecosystems
 - Provision of basic health and social programmes and support in developing national capacities
 - Provision of basic education programmes and support in developing national education programmes
- Developing and promoting civil society in partner regions
- Strengthening the resilience of societies and states against settling conflicts through violence
- Building confidence and transforming conflict for peacebuilding and reconciliation (particularly capacity development for mediation)

Contributions are made to this on the one hand by assigning civilian experts, police officers, judicial and military personnel and on the other through development cooperation in conflict prevention and peacekeeping. Added to this are the resources of relevant policy fields and financial instruments, which must be tailored to needs in fragile situations (e.g. pooled funding).

Contributions by non-governmental organisations

Non-governmental organisations (NGOs) can add complementary value in fragile situations by virtue of their basic values (commitment to a life with dignity for all people, for global social equity and sustainability), their neutrality and their foundation in civil society.

Premise

NGOs act on the premise of satisfying the needs of the deprived population, based on their civil, political, economic, social and cultural human rights and international development agreements, as set out in the Millennium Goals. All other aims are subordinate to these goals.

Principles

Essential principles of development and peacebuilding NGOs include sustainability, empowerment, accountability and participation.

Humanitarian aid through NGOs is provided according to the principles of neutrality, independence, impartiality and humanity, and must be free of any political, economic, military or other agenda.

Fields of activity

In many relevant fields of activity, NGOs can draw on proven expertise in fragile situations. They are not bound to uphold government interests and therefore usually have a broader scope of action and are accorded greater credibility. Their local situation facilitates rapid, adequate assistance geared to local needs. Strengthening local civilian capacity is a key factor for establishing peace, security and democracy:

- Humanitarian aid (e.g. aid for refugees and internally displaced persons; medical care; visits to prisoners of war and inspection of conditions of detention; distribution of food, tents etc.) in keeping with the above principles
- Implementation of programmes at a civil society level (e.g. provision of basic social services)
- Strengthening local civic capacity and actors - particularly women – through capacity building and empowerment of organisations (planning, budgeting, participation, monitoring of political processes) and individuals (training)
- Supporting civil society in the non-violent management and resolution of conflicts in all phases
- Advancing democracy by promoting networking processes and social movements
- Conducting training and advocacy measures in basic and human rights and international humanitarian law
- Monitoring attacks on civilians (including sexual violence)
- Carrying out advocacy work and supporting measures for mediation, reconciliation and eliminating impunity (transitional justice) and for building democratic state institutions in cooperation with local institutions
- Raising awareness and conducting advocacy work in the North as well as performing a watchdog function towards governments & government interventions

Contributions to this are made by assigning experts from different disciplines and allocating financial funds from public and private sources that are tailored to specific needs in fragile situations