## Financing and Budgeting

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NOTE
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Summary

The system of funding of a disarmament, demobilization and reintegration (DDR) programme varies according to the different involvement of international actors. When the World Bank (with its Multi-Donor Trustfund) plays a leading role in supporting a national DDR programme, funding is normally provided for all demobilization and reintegration activities, while additional World Bank International Development Association (IDA) loans are also provided. In these instances, funding comes from a single source and is largely guaranteed.

In instances where the United Nations (UN) takes the lead, several sources of funding may be brought together to support a national DDR programme. Funds may include contributions from the peacekeeping assessed budget; core funding from the budgets of UN agencies, funds and programmes; voluntary contributions from donors to a UN-managed trust fund; bilateral support from a Member State to the national programme; and contributions from the World Bank.

In a peacekeeping context, funding may come from some or all of the above funding sources. In this situation, a good understanding of the policies and procedures governing the employment and management of financial support from these different sources is vital to the success of the DDR programme.

Since several international actors are involved, it is important to be aware of important DDR funding requirements, resource mobilization options, funding mechanisms and financial management structures for DDR programming. Within DDR funding requirements, for example, creating an integrated DDR plan, investing heavily in the reintegration phase and increasing accountability by using the results-based budgeting (RBB) process can contribute to the success and long-term sustainability of a DDR programme.

When budgeting for DDR programmes, being aware of the various funding sources available is especially helpful. The peacekeeping assessed budget process, which covers military, personnel and operational costs, is vital to DDR programming within the UN peacekeeping context. Both in and outside the UN system, rapid response funds are available. External sources of funding include voluntary donor contributions, the World Bank Post-Conflict Fund, the Multi-Country Demobilization and Reintegration Programme (MDRP), government grants and agency in-kind contributions.

Once funds have been committed to DDR programmes, there are different funding mechanisms that can be used and various financial management structures for DDR programmes that can be created. Suitable to an integrated DDR plan is the Consolidated Appeals Process (CAP), which is the normal UN inter-agency planning, coordination and resource mobilization mechanism for the response to a crisis. Transitional appeals, Post-Conflict Needs Assessments (PCNAs) and international donors’ conferences usually involve governments and are applicable to the conflict phase. In the case of RBB, programme budgeting that is defined by clear objectives, indicators of achievement, outputs and influence of external factors helps to make funds more sustainable. Effective financial management
structures for DDR programmes are based on a coherent system for ensuring flexible and sustainable financing for DDR activities. Such a coherent structure is guided by, among other factors, a coordinated arrangement for the funding of DDR activities and an agreed framework for joint DDR coordination, monitoring and evaluation.

1. Module scope and objectives
The aim of this module is to provide DDR practitioners in Headquarters and the field, in peacekeeping missions as well as field-based UN agencies, funds and programmes with a good understanding of:

- the major DDR activities that need to be considered and their associated cost;
- the planning and budgetary framework used for DDR programming in a peacekeeping environment;
- potential sources of funding for DDR programmes, relevant policies guiding their use and the key actors that play an important role in funding DDR programmes;
- the financial mechanisms and frameworks used for DDR fund and programmes management.

Specifically, the module outlines the policies and procedures for the mobilization, management and allocation of funds for DDR programmes, from planning to implementation. It provides substantive information about the budgeting process used in a peacekeeping mission (including the RBB framework) and UN country team. It also discusses the funding mechanisms available to support the launch and implementation of DDR programmes and ensure coordination with other stakeholders involved in the funding of DDR programmes. Finally, it outlines suggestions about how the UN’s financial resources for DDR can be managed as part of the broader framework for DDR, defining national and international responsibilities and roles, and mechanisms for collective decision-making.

The module does not deal with the specific policies and procedures of World Bank funding of DDR programmes. It should be read together with the module on planning of integrated DDR (IDDRS 3.10 on Integrated DDR Planning: Processes and Structures), the module on programme design (IDDRS 3.20 on DDR Programme Design), which provides guidance on developing cost-efficient and effective DDR programmes, and the module on national institutions (IDDRS 3.30 on National Institutions for DDR), which specifies the role of national institutions in DDR.

2. Terms, definitions and abbreviations
Annex A contains a list of terms, definitions and abbreviations used in this standard. A complete glossary of all the terms, definitions and abbreviations used in the series of integrated DDR standards (IDDRS) is given in IDDRS 1.20.

In the IDDRS series, the word ‘shall’, ‘should’ and ‘may’ are used to indicate the intended degree of compliance with the standards laid down. This use is consistent with the language used in the International Organization for Standardization standards and guidelines:

- a) ‘shall’ is used to indicate requirements, methods or specifications that are to be applied in order to conform to the standard.
- b) ‘should’ is used to indicate the preferred requirements, methods or specifications.
- c) ‘may’ is used to indicate a possible method or course of action.”
3. Introduction

The primary purpose of DDR is to build the conditions for sustainable reintegration and reconciliation at the community level. Therefore, both early, adequate and sustainable funding and effective and transparent financial management arrangements are vital to the success of DDR programmes. Funding and financial management must be combined with cost-efficient and effective DDR programme strategies that both increase immediate security and contribute to the longer-term reintegration of ex-combatants. Strategies containing poorly conceived eligibility criteria, a focus on individual combatants, up-front cash incentives, weapons buy-back schemes and hastily planned reintegration programmes must be avoided. They are both a financial drain and will not help to achieve the purpose of DDR.

Programme managers should be aware that the reliance on multiple sources and mechanisms for funding DDR in a peacekeeping environment has several implications:

- First, most programmes experience a gap of about a year from the time funds are pledged at a donors’ conference to the time they are received. Payment may be further delayed if there is a lack of donor confidence in the peace process or in the implementation of the peace agreement;
- Second, the peacekeeping assessed budget is a predictable and reliable source of funding, but a lack of knowledge about what can or cannot be carried out with this source of funding, lack of clarity about the budgetary process and late submissions have all limited the contributions of the peacekeeping assessed budget to the full DDR programme;
- Third, the multiple funding sources have, on occasion, resulted in poorly planned and unsynchronized resource mobilization activities and unnecessary duplication of administrative structures. This has led to further confusion among DDR planners and implementers, diminished donor confidence in the DDR programme and, as a result, increased unwillingness to contribute the required funds.

4. Guiding principles

The following principles should guide the resource mobilization and financial management of DDR programmes:

4.1. Integrated DDR plan

The funding strategy of the UN for a DDR programme should be based on an integrated DDR plan and strategy that show the division of labour and relationships among different national and local stakeholders, and UN departments, agencies, funds and programmes. The planning process to develop the integrated plan should include the relevant national stakeholders, UN partners, implementing local and international partners (wherever possible), donors and other actors such as the World Bank. The integrated DDR plan shall also define programme and resource management arrangements, and the roles and responsibilities of key national and international stakeholders.
4.2. Harmonization with other post-conflict planning mechanisms
Planning and budgeting for DDR shall also be harmonized with other assessment, planning and financing mechanisms that are established to manage and allocate financial resources for transition and recovery needs.

4.3. Funding DDR as an indivisible process
DDR practitioners and donors shall recognize the indivisible character of DDR. Sufficient funds must be secured to finance the disarmament, demobilization and reintegration activities for an individual participant and his/her receiving community before the UN should consider starting the disarmament process.

4.4. Minimizing duplication
The UN must avoid duplicative, high-cost administrative structures for fund management in-country, as well as unnecessary duplication in programmes for ex-combatants and those associated with the armed forces and groups.

4.5. Investing in reintegration
The UN system should ensure that adequate, timely funding is allocated for the reintegration component of the programme. Additional investments into community level services to assist and support reintegration and reconciliation (such as community security initiatives) should be planned and harmonized with the investments of the UN system and bilateral and multilateral actors working on reintegrating internally displaced persons and refugees.

4.6. Flexibility and worst-case planning estimates
Wherever possible, cost estimates should be based on thorough assessments and surveys. In the absence of concrete information, the UN shall make the assumptions/estimates needed in order to carry out planning and budgeting for a DDR programme. The planning and budgetary process shall take into account realistic worst-case scenarios and build in sufficient financial flexibility to deal with potential identified political and security contingencies that may affect DDR.

4.7. Accountability
The UN, together with relevant bilateral or multilateral partners, shall establish rigorous oversight mechanisms at the national and international levels to ensure a high degree of accuracy in monitoring and evaluation, transparency, and accountability. These tools ensure that the use of funds meets the programme objectives and conforms to both the financial rules and regulations of the UN (in the case of the assessed budget) and those of donors contributing funds to the DDR programme.
Section I: DDR funding requirements and budgeting

5. Funding requirements

The matrix below identifies the main DDR activities from the negotiation of the peace process to the implementation of the programme, the main activities that may take place in each phase of the process, and possible resource requirements and sources of funding. This list provides a general example of the processes involved, and other issues may have to be included, depending on the requirements of a particular DDR mission.

<table>
<thead>
<tr>
<th>PHASE</th>
<th>INDICATIVE ACTIVITIES</th>
<th>POSSIBLE FUNDING SOURCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Peace negotiations</td>
<td>DDR technical advice</td>
<td>Bilateral support, agency preparatory funding, voluntary contributions to trust funds</td>
</tr>
<tr>
<td></td>
<td>Assessments and surveys</td>
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<td></td>
<td>Country visits</td>
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<td></td>
<td>DDR training/capacity development</td>
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<tr>
<td>Pre-mission planning</td>
<td>Establish coordination and planning mechanisms for international community in-country</td>
<td>Bilateral support, agency preparatory funding, voluntary contributions to trust funds</td>
</tr>
<tr>
<td></td>
<td>Establish contacts with network of local partners (civil society groups, private sector, non-governmental organizations [NGOs])</td>
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</tr>
<tr>
<td></td>
<td>Increase personnel and logistics to support DDR planning</td>
<td>Pre-mandate commitment authority from peacekeeping assessed budget</td>
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<td></td>
<td>Capacity-building of national institutions</td>
<td></td>
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<td></td>
<td>Post-conflict needs analysis</td>
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<td></td>
<td>Technical assessment mission (before mandate from Security Council)</td>
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<tr>
<td>Disarmament</td>
<td>Arms and ammunition data collection plan and programme</td>
<td>Peacekeeping assessed budget</td>
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<tr>
<td></td>
<td>Weapons collection, registration, transportation, secure storage and destruction</td>
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<td></td>
<td>Stockpile management plan and programme</td>
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<tr>
<td></td>
<td>Legal framework for arms, ammunition and explosives</td>
<td></td>
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<tr>
<td></td>
<td>Community arms collection programmes (from planning to implementation)</td>
<td></td>
</tr>
<tr>
<td>Demobilization: Processing phase</td>
<td>In-bound transportation</td>
<td>Peacekeeping assessed budget, voluntary contributions, agency in-kind contributions</td>
</tr>
<tr>
<td></td>
<td>Registration</td>
<td></td>
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<tr>
<td></td>
<td>Socio-economic profiling</td>
<td></td>
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<tr>
<td></td>
<td>Health screening</td>
<td></td>
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<tr>
<td></td>
<td>Civic education</td>
<td></td>
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<tr>
<td></td>
<td>Discharge orientation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Out-bound transportation (repatriation and resettlement)</td>
<td></td>
</tr>
</tbody>
</table>
### Demobilization: Reinsertion phase (up to a year for each combatant)

- Transitional safety allowances
- Food
- Non-food item support
- Clothes
- Short-term education and training
- Short-term employment
- Tools
- Medical services

Peacekeeping assessed budget, voluntary contributions, agency in-kind contributions

### Reintegration

- Professional/vocational training
- Long-term education, accelerated learning
- Employment counselling and referral
- Job placement
- Financing of microenterprises
- Induction into uniformed services
- Family tracing and reunification, interim care services for children associated with armed forces and groups
- Community support for reintegration of women associated with armed forces and groups
- Reconciliation activities

Voluntary contributions, bilateral programmes

### Awareness-raising and sensitization, and advocacy

- Radio
- Print
- Local theatre groups
- Advocacy, publication information and social mobilization to raise awareness about children and women associated with armed forces and groups

Peacekeeping assessed budget, voluntary contributions, bilateral programmes

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**6. Budgeting for DDR during programme development**

The design of DDR budgets should follow the basic template for results-based budgeting (RBB) in use by the UN system as international standards (also see IDDRS 3.20 on DDR Programme Design). Annex D.1 gives suggestions on how to develop an RBB framework, while Annex D.2 provides an example from Sudan.

When drawing up the budget in the programme development process, the following considerations should be taken into account:

- It is necessary to accurately cost programme requirements during the assessment/programme design phase in consultation with all key stakeholders (particularly national authorities, main donors and partners);
- The costing of DDR activities should be carried out within a single framework (i.e., covering all aspects of DDR, and all phases of mission planning and programme development), including a common results-based matrix with corresponding funding sources.
This framework should fit in with, and be linked to, other funding frameworks (CAP, joint assessment missions, PCNA processes, etc.). Annexes B.1 provides an example of the results-focused transition framework (RFTF) on DDR from Liberia, while Annex B.2 shows integrated DDR programme planning in Sudan;

- Budgeting for funding UN DDR activities should be carried out with a clear understanding of the division between national and international implementation responsibilities, and should be closely coordinated with the development and funding of the national DDR framework;
- A donors’ group or forum should be established during the programme development phase to ensure adequate and sustainable participation and engagement of donors in DDR;
- As far as possible, the identification of funding needs, sources and methods should be integrated with broader post-conflict recovery strategy and funding frameworks (including management and governance structures).

Most important for DDR programme budgeting within the UN system is the peacekeeping assessed budget process. While other funding sources are available, the peacekeeping assessed budget process requires complex planning considerations for DDR programmes in the peacekeeping context.

### 6.1. The peacekeeping assessed budget of the UN

The peacekeeping assessed budget of the UN is an important source of funding for DDR programmes. It is normally established for one year and covers the three major categories of expenses. These are:

- military costs (troops, military observers and equipment);
- personnel costs (international and local staff members, consultants, etc.);
- operational costs (logistics and limited programme implementation costs).

#### 6.1.1. Elements of budgeting for DDR

Budgeting for DDR activities, using the peacekeeping assessed budget, must be guided by two elements:

- *The Secretary-General’s DDR definitions:* In May 2005, the Secretary-General standardized the DDR definitions to be used by all peacekeeping missions in their budget submissions, in his note to the General Assembly (A/C.5/59/31);

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**DISARMAMENT**

Disarmament is the collection, documentation, control and disposal of small arms, ammunition, explosives and light and heavy weapons of combatants and often also of the civilian population. It also includes the development of responsible arms management programmes.

**DEMOBILIZATION**

Demobilization is the formal and controlled discharge of active combatants from armed forces or other armed groups. The first stage of demobilization may comprise the processing of individual combatants in temporary centres to the massing of troops in camps designated for this purpose (cantonment sites, encampments, assembly areas or barracks). The second stage of demobilization encompasses the support package provided to the demobilized, which is called reinsertion.
REINSERTION
Reinsertion is the assistance offered to ex-combatants during demobilization but prior to the longer-term process of reintegration. Reinsertion is a form of transitional assistance to help cover the basic needs of ex-combatants and their families and can include transitional safety allowances, food, clothes, shelter, medical services, short-term education, training, employment and tools. While reintegration is a long-term, continuous social and economic process of development, reinsertion is a short-term material and/or financial assistance to meet immediate needs, and can last up to a year.

REINTEGRATION
Reintegration is the process by which ex-combatants acquire civilian status and gain sustainable employment and income. It is essentially a social and economic process with an open time-frame, primarily taking place in communities at the local level. It is part of the general development of a country and a national responsibility and often necessitates long-term external assistance.

- General Assembly resolution A/RES/59/296: Following the note of the Secretary-General on DDR definitions, the General Assembly in resolution A/RES/59/296 recognized that a reinsertion period of one year is an integral part of the demobilization phase of the programme, and agreed to finance reinsertion activities for demobilized combatants for up to that period. (For the remaining text of resolution A/RES/59/296, please see Annex C.)

6.1.2. Categories that may be funded by the peacekeeping assessed budget
Guided by the Secretary-General’s definitions and resolution A/RES/59/296 of the General Assembly, below is a list of the categories that may be funded by the peacekeeping assessed budget:

<table>
<thead>
<tr>
<th>NAME</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Peacekeeping assessed budget</td>
<td>Covers the following categories:</td>
</tr>
<tr>
<td></td>
<td>■ Personnel costs (international and local staff members, consultants, etc.)</td>
</tr>
<tr>
<td></td>
<td>■ Equipment for the disarmament and demobilization sites</td>
</tr>
<tr>
<td></td>
<td>■ Infrastructure and logistics</td>
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<tr>
<td></td>
<td>■ Operational costs for disarmament and demobilization</td>
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<tr>
<td></td>
<td>■ Transportation (air and ground)</td>
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<tr>
<td></td>
<td>■ Rations (food supply)</td>
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<td></td>
<td>■ Civilian clothing and other non-food items</td>
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<td></td>
<td>■ Small arms control projects</td>
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<td></td>
<td>■ DDR training</td>
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<td>■ Quick-impact projects</td>
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<td></td>
<td>■ Public information activities in support of the DDR programme</td>
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<tr>
<td></td>
<td>■ Reinsertion support for the demobilization of combatants for up to one year after disarmament</td>
</tr>
</tbody>
</table>
7. The peacekeeping budgeting process

This section outlines the typical process for developing the budget for a peacekeeping mission and describes the RBB methodology used in DPKO missions for the preparation and submission of budgets to the General Assembly. (Note: With the exception of new missions, the budget cycle for all peacekeeping budgets is from 1 July to 30 June of the following year.)

Stage I: Developing strategic assumptions and draft mission plan (time-frame)

Office of the Controller sends budget instructions to SRSG

SRSG develops and submits strategic assumptions and draft plan to DPKO

DPKO and mission finalize planning assumptions and approach to budgeting process

SRSG = Special Representative of the Secretary-General

Stage II: Developing the results-based framework and draft mission budget (time-frame)

Mission components develop results-based framework covering staff, logistics and financial requirements

Chief budget officer consolidates RBB framework and budget through the CAO to SRSG for Headquarters review

Joint Headquarters and field review before submission of draft RBB and budget to Office of the Controller

CAO = chief administrative officer

Stage III: Submission of RBB and mission budget to first draft of the mission budget (time-frame)

USG/DPKO submits draft RBB and draft budget submission to the Office of the Controller for review

OPPBA holds budget review meeting in Headquarters with representatives of DPKO and PKO

OPPBA and DPKO completes draft of proposed budget

USG = Under-Secretary-General; OPPBA = Office of Programme Planning, Budget and Accounts
Stage IV: Presentation of the draft budget to the Advisory Committee on Administrative and Budgetary Questions (ACABQ) and adoption of financial resolution by the General Assembly (time-frame)

Controller submits proposed budget submission to the ACABQ

ACABQ reviews proposed budget and makes a recommendation to the Fifth Committee of the General Assembly

General Assembly adopts financial resolution on approved budget authorizing appropriation

Stage V: Presentation of the draft budget to the ACABQ (time-frame)

OPBBA issues allotment to mission

Mission allocates approved staffing structure and budget to mission components for programme implementation

Section II: Resource mobilization

This section provides an overview of the main sources of funding used for DDR, as well as the types of activities they can finance. The section also illustrates how different funds and funding sources can be used within an overall phased plan for funding DDR.

8. Sources of funding

In general, five funding sources are used to finance DDR activities. These are:

- the peacekeeping assessed budget of the UN;
- rapid response (emergency) funds;
- voluntary contributions from donors;
- government grants, government loans and credits;
- agency cost-sharing.

An outline of the peacekeeping assessed budget process of the UN is given at the end of Section I. Next to the peacekeeping assessed budget, rapid response funds are another vital source of funding for DDR programming.

9. Rapid response funds

There are several sources of funds that can be accessed relatively quickly to fund urgent requirements and emergencies: they can be used to fund specific activities needed to develop and launch DDR activities. The funds provide up-front capacities and resources in the immedi-
ate post-conflict period that cannot be covered by voluntary contributions, owing to delays in funds being disbursed and often lengthy procedures for authorization and disbursement. These funds often have flexible management arrangements, can be quickly disbursed, and can help the peacekeeping assessed budget to deal with strategic priorities immediately preceding, and during, the development and launch of DDR programmes. These sources of funding include the following:

9.1. UNDP crisis prevention and recovery funds

The UN Development Programme (UNDP), through both its core funds for emergency situations (known as TRAC 1.1.3) and its Crisis Prevention and Recovery Thematic Trust Fund (CPR/TTF), can provide limited seed funding for developing and launching DDR programmes in the immediate pre-mandate and mission deployment period, and for providing technical and capacity-development assistance to parties engaged in peace negotiations:

<table>
<thead>
<tr>
<th>NAME</th>
<th>DESCRIPTION</th>
</tr>
</thead>
</table>
| **UNDP Conflict Prevention and Recovery Thematic Trust Fund (CPR/TTF)** | ■ It was established in March 2000 to enable UNDP to better respond to the urgent needs of countries in crisis.
■ It aims to mobilize thematic, more flexible funding that can be used for immediate crisis response, as well as for strategic investment into prevention and recovery programmes.
■ The TTF has several features that can come into play during crisis situations: (1) rapid disbursement and flexible programming instruments; (2) availability of the whole range of UNDP executing modalities, including Direct Execution; and (3) use of management fee charges against the TTF for strengthening field-level implementation capacity. |
| **UNDP ‘TRAC 1.1.3’ funds** | ■ TRAC 1.1.3 resources are available to finance initiatives that aim at crisis prevention or reducing the severity of a crisis.
■ They are also used to increase the capacity of the UN country team by supporting the Resident Coordinator in responding to sudden disasters.
■ TRAC 1.1.3 resources also serve as catalytic or seed funding (i.e., to fund the early stages of the UN response to a crisis) to coordinate emergency response in the event of a sudden crisis, and to mobilize and secure additional resources for dealing with crisis prevention, recovery, or disaster-related issues.
■ The Bureau for Crisis Prevention and Recovery provides policy and programme advisory services to country offices in CPR situations. |
9.2. European Commission Rapid Reaction Mechanism

The European Commission (EC) Rapid Reaction Mechanism (RRM) is designed to allow the European Union (EU) to respond urgently to the needs of countries threatened with or undergoing severe political instability or suffering from the effects of technological or natural disasters.

<table>
<thead>
<tr>
<th>NAME</th>
<th>DESCRIPTION</th>
</tr>
</thead>
</table>
| European Commission (EC) Rapid Reaction Mechanism (RRM) | - Its purpose is to support measures aimed at safeguarding or re-establishing the conditions under which the partner countries of the EC can pursue their long-term development goals.  
- The RRM may be triggered in situations of “crisis or emerging crisis, situations posing a threat to law and order, the security and safety of individuals, situations threatening to escalate into armed conflict or to destabilize the country”.  
(http://ec.europa.eu/comm/external_relations/cpcm/rrm/index.htm)  
- The RRM can be used in all areas of intervention that come under EU competence, with the exception of humanitarian assistance.  
- There is no geographical restriction. |

9.3. World Bank Post-Conflict Fund

The World Bank Post-Conflict Fund (PCF) supports planning, piloting and analysing of DDR activities by funding governments and partner organizations doing this work. The emphasis is on speed and flexibility without sacrificing quality.

<table>
<thead>
<tr>
<th>NAME</th>
<th>DESCRIPTION</th>
</tr>
</thead>
</table>
| World Bank Post-Conflict Fund (PCF)| - The aim of the PCF is to provide earlier and broader World Bank assistance to conflict-affected countries.  
- Grants are focused on the restoration of the lives and livelihoods of war-affected populations.  
- A wide range of entities can apply for PCF grants, including governments, regional and international bodies, transitional authorities, NGOs, universities and other civil society institutions.  
- Grants can range from $25,000 to $1 million, and in multi-year programmes may exceed $1 million. |

10. Voluntary (donor) contributions

Voluntary contributions from UN Member States are the main source of financing for DDR programmes, and in particular reintegration activities. Contributions can originate from various sources, including foreign affairs ministries, overseas development assistance funds and defence ministries, among others. Key donors that usually provide financing for DDR,
as well as security sector reform (SSR) and post-conflict recovery initiatives, include the following countries, together with their respective bilateral aid agencies and specialized mechanisms for funding post-conflict and transition priorities:

<table>
<thead>
<tr>
<th>Norway (Transitional Budget Line)</th>
<th>Germany (German Technical Cooperation Agency [GTZ])</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sweden (Swedish International Development Cooperation Agency)</td>
<td>Switzerland</td>
</tr>
<tr>
<td>United Kingdom (Department for International Development [DFID] Conflict-prevention Pools)</td>
<td>Netherlands (Dutch Stability Fund)</td>
</tr>
<tr>
<td>Canada (Department of Foreign and International Trade/Canadian IDA [CIDA])</td>
<td>Belgium</td>
</tr>
<tr>
<td>Japan (Trust Fund for Human Security)</td>
<td>Italy</td>
</tr>
<tr>
<td>United States of America (United States Agency for International Development [USAID] Office of Transition Initiatives)</td>
<td>Denmark (Interim Transitional Assistance Funds)</td>
</tr>
</tbody>
</table>

10.1. The World Bank’s Multi-Country Demobilization and Reintegration Programme (MDRP)

The World Bank manages a regional DDR programme for the Greater Lakes Region in Central Africa, which can work closely with the UN in supporting national DDR programmes in peacekeeping missions.

| World Bank Multi-Country Demobilization and Reintegration Programme (MDRP) | ■ The MDRP is made up of two separate but complementary sources of funding: World Bank IDA funds of up to $150 million and a Multi-Donor Trust Fund (MDTF) of $350 million.  
■ World Bank IDA only finances national programmes.  
■ The MDTF may finance:  
- demobilization of government and irregular forces (i.e., armed forces and groups) engaged in the conflict(s);  
- temporary reinsertion benefits to ex-combatants;  
- social and economic reintegration of ex-combatants, including specifically identified groups;  
- special projects for demobilization and/or reintegration implemented by UN agencies or NGOs;  
- special regional activities;  
- monitoring of the overall programme. |

Voluntary contributions from UN Member States are the main source of financing for DDR programmes, and in particular reintegration activities.
10.2. Government grants

Although most post-conflict governments lack institutional capacity to carry out DDR, many (such as Sierra Leone) contribute towards the cost of domestic DDR programmes, given their importance as a national priority. Although these funds are not generally used to finance UN-implemented activities and operations, they play a key role in establishing and making operational national DDR institutions and programmes, while helping to generate a meaningful sense of national ownership of the process.

10.3. Agency in-kind contributions

For some activities in a DDR programme, certain UN agencies might be in a position to provide in-kind contributions, particularly when these activities correspond to or consist of priorities and goals in their general programming and assistance strategy. Such in-kind contributions could include, for instance, the provision of food assistance to ex-combatants during their cantonment in the demobilization stage, medical health screening, or HIV/AIDS counselling and sensitization. The availability and provision of these contributions for DDR programming should be discussed, identified and agreed upon during the programme design/planning phase, and the agencies in question should be active participants in the overall integrated approach to DDR. Traditional types of in-kind contributions include:

- security and protection services (military) — mainly outside of DDR in peacekeeping missions;
- construction of basic infrastructure;
- logistics and transport;
- food assistance to ex-combatants and dependants;
- child-specific assistance;
- shelter, clothes and other basic subsistence needs;
- health assistance;
- HIV/AIDS screening and testing;
- public information services;
- counselling;
- employment creation in existing development projects.

11. Overview of phased DDR funding requirements

A key element of a resource mobilization strategy is to focus on different donors and funding sources, depending on what range of activities they can fund at different phases in the DDR programme cycle.

Some types of funding (particularly emergency response funding) are particularly useful in the initial planning and launch phase of DDR programmes, owing to their immediate availability, quick disbursal and flexibility, while other types of funding (voluntary contributions or loans) are more applicable for financing long-term reintegration assistance, owing to their slower disbursement, often of larger amounts, and their ability to finance multi-year arrangements.

Annex E illustrates how different sources and kinds of funds could be utilized within an overall phased approach to implementing DDR programmes. This type of planning could form a vital component of a resource mobilization strategy and allow the establishment of clear goals.
Section III: Funding and Financial Management of DDR

12. Standard funding mechanisms

The UN system uses a number of different funding mechanisms and frameworks to mobilize financial resources in crisis and post-conflict contexts, covering all stages of the relief-to-development continuum, and including the mission period. For the purposes of financing DDR, the following mechanisms and instruments should be considered:

<table>
<thead>
<tr>
<th>MECHANISM</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consolidated Appeals Process (CAP)</td>
<td>The CAP is the normal, inter-agency planning, coordination and resource mobilization mechanism for the humanitarian response to a crisis, managed by the UN Office for the Coordination of Humanitarian Affairs (see <a href="http://www.reliefweb.int">http://www.reliefweb.int</a>). The advantages of the CAP are that it is often developed, and financed, during the crisis period or immediately following the end of hostilities, providing a limited means to obtain up-front funds for DDR ahead of the main disbursement of voluntary contributions. Funding is agency-specific. Certain aspects of DDR (such as demobilization and reinsertion activities) could be included in this framework. Projects should be framed in a way that makes clear that the projects link to and support humanitarian objectives and institutions.</td>
</tr>
<tr>
<td>Transitional appeals</td>
<td>Transitional appeals are developed in a post-conflict country where a major PCNA has not been planned or carried out. They focus on both the humanitarian and immediate post-conflict needs and the transition needs linked to longer-term requirements for sustainable peace and development. National government is given a larger role in design and implementation. Transitional appeals are more rapid and flexible than a full-blown donors’ conference based on a full PCNA.</td>
</tr>
<tr>
<td>Post-conflict needs assessments (PCNAs) and international donor’s conferences</td>
<td>The PCNA is a development-oriented process led by the national authorities and supported by the international community. The aim of the PCNA is to define the short-term (12–24 months) and potentially medium-term (24–60 months) recovery priorities and their financial implications on the basis of an overall long-term (5–10 years) vision or goal. International donors’ conferences are built around the PCNA document, generally prepared by the UN and World Bank, against which individual donors make their pledges. Donors are free to choose the implementation mechanisms. This should be the main source of reintegration funding. National and international communities establish the necessary structures to govern and manage voluntary funds received.</td>
</tr>
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</table>
12.1. Results-based budgeting for DDR in a peacekeeping environment

The results-based budgeting (RBB) framework is the primary budgetary planning tool used by the UN Secretariat and peacekeeping missions, and is part of the Secretary-General’s programme of reform and vision of a more results-oriented organization.

A significant feature of RBB is the defining of expected results at the beginning of the planning and budget cycle, before implementation. Thus RBB aims to shift focus from output accounting (i.e., activities) to results-based accountability (i.e., indicators of achievements). RBB is not simply an administrative process, but a strategic planning tool, improving the clarity of programmes, bringing about a common understanding and better communication between Member States and programme managers about the desired results. Results-based management is intended to be a dynamic process, providing feedback throughout the full programme cycle: in planning, programming, budgeting, and monitoring and evaluation.

Since its inception, RBB has continued to evolve in order to better fulfil its role as a strategic planning tool for the UN. (See Annex D.1 for an overview of the RBB framework development and Annex D.2 for an example from Sudan.)

RBB has four main components:

- **Objective:** Serving as the basis for developing programme activities and identifying benchmarks for success;
- **Indicators of achievement:** Measuring performance, justifying the resource requirements and linking them to outputs;
- **Outputs:** Listing the activities that will be conducted in order to achieve the objective;
- **External factors:** Identifying factors outside the control of the programme manager that may affect programme performance.

13. Financial management

Integrated DDR programmes should develop, to the extent possible, a single structure for managing and coordinating:

- the receipt of funds from various funding sources and mechanisms;
- the allocation of funds to specific projects, activities and implementing partners;
- adequate monitoring, oversight and reporting on the use of funds.

In order to achieve these goals, the structure should ideally:

- include a coordinated arrangement for the funding of DDR activities that would be administered by either the UN or jointly with another organization such as the World Bank, with an agreed structure for joint coordination, monitoring and evaluation;
- establish a direct link with integrated DDR planning and programming frameworks;
- include all key stakeholders on DDR, while ensuring the primacy of national ownership;
- bring together within one framework all available sources of funding, as well as related methods (including trust funds and pass-through arrangements, for instance), in order to establish a well-coordinated and coherent system for ensuring flexible and sustainable financing of DDR activities.

13.1. National role and coordination

The establishment of a financial and management structure for funding DDR should clearly reflect the primacy of national ownership and responsibility, the extent of direct national
implementation and fund management, and the nature of UN support. In this sense, a DDR funding structure should not be exclusively oriented towards UN management and implementation, but rather be planned as an ‘open’ architecture to enable national and other international actors to meaningfully participate in the DDR process. As a part of the process of ensuring national participation, meaningful national ownership should be reflected in the leadership role that national stakeholders should play in the coordination mechanisms established within the overall financial and management structure.

13.2. Institutional and management structures
The core elements of a DDR financial and management structure should ideally include the following:

- a steering committee to provide overall strategic guidance and policy direction on DDR financing; ensure coherence with DDR strategy, priorities and programming framework; and ensure adequate coordination among key stakeholders (national actors, donors, UN agencies, the World Bank and other partners);
- a coordination committee to coordinate the overall programme of activities to be financed through the funding structure, monitor coherence of programme activities and funding structure objectives, and ensure that the programmes are coordinated with broader frameworks and processes (e.g., recovery and SSR), as well as the overall national programme and other initiatives taking place at the same time;
- a technical committee to provide general technical advice, carry out technical review of funding proposals and eligibility, and provide recommendations on the suitability of funding. The technical committee should include UN technical advisers, national representatives, donors and the chair of the steering committee;
- a project approval committee to examine and approve eligible funding proposals submitted to the DDR funding structure, provide strategic guidance on the use of funds, and ensure coherence and coordination between the funding structure and national priorities;
- a secretariat to support the work of the committee through informational, administrative and secretarial responsibilities. The secretariat should also ensure adequate and consistent reporting on activities financed by the funding structure, as well as overall financial tracking. In certain cases, the secretariat could also be tasked with management of financial services such as procurement and contracting.

13.3. Administration of funds
The organization responsible for the administration of funds is responsible for establishing and maintaining appropriate records and accounts to identify financial contributions to funds and arrangements established within the funding structure, as well as to identify the commitments to be financed out of the contributions, and the receipt and disbursement of these funds, in accordance with specified arrangements.

If multiple mechanisms are established to manage receipt of funds (such as two separate trust funds covering different funding areas or funding sources), multiple administrative agents (AAs) will be required. To avoid confusion, the same standards and criteria for allocating, monitoring and reporting funds should be adopted.
13.4. Linking parallel funding mechanisms

Given the complexity and scope of DDR interventions, as well as the range of stakeholders involved, parallel initiatives, both UN and non-UN, are inevitable. Links shall be created between the national and UN DDR frameworks to ensure that these do not duplicate or otherwise affect overall coherence. The basic requirement of good coordination between integrated and parallel processes is an agreement on common strategic, planning and policy frameworks, which should be based on national policy priorities, if they exist. Structurally, stakeholders involved in parallel initiatives should participate on the steering and coordination committees of the DDR funding structure, even though the actual administration and management of funds takes place outside this framework. This will avoid duplication of efforts and ensure a link to operational coordination, and enable the development of an aggregated/consolidated overall budget and work plan for DDR. Normal parallel funding mechanisms include the following:

- **Mission financing:** Although the UN peacekeeping mission is a key component of the overall UN integrated structure for DDR, its main funding mechanism (assessed contributions) is managed directly by the mission itself in coordination with DPKO Headquarters, and cannot be integrated fully into the DDR funding structure. For this reason, it should be considered a parallel funding mechanism, even though the DDR funding structure decides how funds are used and managed;

- **Parallel agency funds:** Certain agencies might have programmes that could support DDR activities (e.g., food assistance for ex-combatants as part of a broader food assistance programme), or even DDR projects that fall outside the overall integrated programme framework;

- **Bilateral assistance funds:** Some donors, particularly those whose bilateral aid agencies are active on post-conflict and/or DDR issues (such as USAID, DFID, CIDA, etc.) might choose to finance programmes that are parallel to integrated efforts, and which are directly implemented by national or sub-national partners. In this context, it is important to ensure that these donors are active participants in DDR and the funding structures involved, and to ensure adequate operational coordination (particularly to ensure that the intended geographic areas and beneficiaries are covered by the programme).

13.5. Fund management mechanisms and methods

Mechanisms for receiving and managing funds include the following:

13.5.1. Pooled funding

Under this option, participating UN organizations pool funds together within one UN organization, chosen jointly by the coordination committee of the DDR financial management structure, which will assume the responsibility of administering the funds. This organization, known as the administrative agent (AA), will support the partners authorized to manage and implement the joint programme of activities identified for these funds. Programme and financial accountability for the UN support to the joint programme will rest with the AA. This fund management option is likely to be the most effective and efficient when participating UN organizations work for the same results with a common national or sub-national partner (e.g., department, provincial office, NGO) and/or in the same geographical area (see Annex D.1).
13.5.2. Pass-through funding

If the integrated DDR programme is made operational through an association between activities and projects to be implemented and/or managed by identified UN agencies or other partners, funding can be still be channelled through a central mechanism. If the donor(s) and participating UN organizations agree to channel the funds through one participating UN organization, then the pass-through method is used. In such a case, the AA would be jointly selected by the DDR coordination committee. Programmatic and financial accountability should then rest with the participating organizations and (sub-)national partners that are managing their respective components of the joint programme. This approach has the advantage of allowing funding of DDR on the basis of an agreed-upon division of labour within the UN system (see Annex D.2).

13.5.3. Cost-sharing

Cost-sharing is a procedure for receiving and managing funds for objectives, activities and results within a specific project or programme managed by a single UN agency. Given the relatively higher transaction costs involved in these arrangements, cost-sharing should be used exclusively for: specialized projects not foreseen in the initial programme document; smaller projects for implementation before the main funding mechanisms are established; funding with special arrangements; and projects that serve as a bridge to other processes and programmes and, therefore, require different management arrangements. Although funding is tied to specific projects and UN agencies in this method, its use should nonetheless be governed by the DDR coordination committee and the applicable criteria, procedures and reporting requirements.

13.5.4. Trust funds

A trust fund is a mechanism used to receive and manage donor funds to achieve a broad aim as opposed to carrying out a specific project. As such, it is established as a separate accounting entity with a designated trust fund manager (an AA, in this case), as well as a governance structure that decides on the allocation of received funding, and is responsible for monitoring and evaluating how funds have been used. When located within an overall funding structure, these structures would be linked or merged with the coordination committee and its respective subsidiary organs. In general, funds channelled through a trust fund are not initially allocated to a particular project and can therefore later be allocated to specific projects or activities working to achieve the broad aim of the programme, based on the discretion of the DDR funding structure and the programme of work the trust fund is supposed to support, which can be a part of the overall DDR programme (e.g., covering reintegration activities specifically).

In the area of DDR, both the UN (through UNDP) and the World Bank have established and managed trust funds. Experience has shown that the use of trust funds for DDR offers several advantages, including:

- the ability to rapidly mobilize and disburse voluntary funding (especially where up-front financing is available);
- decentralized decision-making and management systems (where trust funds are country-specific);
- the capacity to ensure broad national oversight and ownership, through national leadership of the trust fund governance structure;
the capacity to ensure sustainability and continuity (by not being linked to the operational presence of any one organization);
- unified donor coordination and funding structures so that gaps and duplication in funding, and inconsistency in policy advice, are avoided;
- implementation and funding methods that create transparency and accountability and bring about efficient and prompt delivery.

### 3.6. Fund allocation criteria

Funds will be allocated on the basis of a set of criteria dealing with programme objectives, activities and results, among others, which will be used by the technical and project appraisal committees when they consider individual requests for funding by UN agencies and other implementing partners. Criteria can vary depending on the funding mechanism (e.g., a reintegration trust fund will consider only those proposals directly centred on reintegration). Generic categories of criteria can include:

- links to the general thematic sector and/or programme objective(s);
- the capacity and demonstrated results of the proposing organization;
- the strength of the technical proposal;
- cost-efficiency;
- the involvement of national and local stakeholders;
- the results that can be achieved.

### 3.7. Coordination of planning, monitoring and reporting

In order to ensure that the DDR funding structure reflects the overall strategic direction and substantive content of the integrated DDR programme, all funding decisions and criteria should be based, as far as possible, on the planning, results, and monitoring and evaluation frameworks of the DDR programme and action plan. For this reason, DDR planning and programme officers should participate at all levels of the fund management structure, and the same information management systems should be used. Changes to programme strategy should be immediately reflected in the way in which the funding structure is organized and approved by the key stakeholders involved. With respect to financial monitoring and reporting, the members of the funding facility secretariat should maintain close links with the monitoring and evaluation staff of the integrated DDR section, and use the same methodologies, frameworks and mechanisms as much as possible.
Annex A: Terms, definitions and abbreviations

Terms and definitions

Advisory Committee on Administrative and Budgetary Questions (ACABQ): The advisory body that reviews the budgets of peacekeeping missions and makes recommendations to the Fifth (Administrative and Budgetary) Committee of the General Assembly.

Peacekeeping assessed budget: The assessed financial contribution of Member States to the operating of the UN peacekeeping missions, based on a scale established by the General Assembly.

Results-based budgeting (RBB): A strategic planning framework that focuses on concrete objectives, expected accomplishments and indicators of achievement for the allocation of resources. As such, the RBB aims to shift focus from output accounting (i.e., activities) to results-based accountability (indicators of achievements).

Voluntary contributions: This is a form of financial support that Member States pledge (often in a donors’ conference) and commit on a case-by-case basis to support programme implementation. Contributions can be made to UN or non-UN trust funds. At times, donors implement their contributions through their own bilateral aid agency or directly through NGOs.

Abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AA</td>
<td>administrative agent</td>
</tr>
<tr>
<td>ACABQ</td>
<td>Advisory Committee on Administrative and Budgetary Questions</td>
</tr>
<tr>
<td>CAP</td>
<td>Consolidated Appeals Process</td>
</tr>
<tr>
<td>CIDA</td>
<td>Canadian International Development Agency</td>
</tr>
<tr>
<td>CPR/TTF</td>
<td>Crisis Prevention and Recovery Thematic Trust Fund</td>
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<tr>
<td>DDR</td>
<td>disarmament, demobilization and reintegration</td>
</tr>
<tr>
<td>DFID</td>
<td>Department for International Development (UK)</td>
</tr>
<tr>
<td>DPKO</td>
<td>Department of Peacekeeping Operations</td>
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<tr>
<td>EC</td>
<td>European Commission</td>
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<tr>
<td>EU</td>
<td>European Union</td>
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<tr>
<td>IDA</td>
<td>International Development Association</td>
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<tr>
<td>IDDRS</td>
<td>integrated disarmament, demobilization and reintegration standard/standards</td>
</tr>
<tr>
<td>MDRP</td>
<td>Multi-Country Demobilization and Reintegration Programme</td>
</tr>
<tr>
<td>MDTF</td>
<td>Multi-Donor Trust Fund</td>
</tr>
<tr>
<td>NGO</td>
<td>non-governmental organization</td>
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<tr>
<td>PCF</td>
<td>Post-Conflict Fund</td>
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<tr>
<td>PCNA</td>
<td>post-conflict needs assessment</td>
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<tr>
<td>RBB</td>
<td>results-based budgeting</td>
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<tr>
<td>RRM</td>
<td>Rapid Reaction Mechanism (of the EC)</td>
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<td>RFTF</td>
<td>results-focused transition framework</td>
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<tr>
<td>SRSG</td>
<td>Special Representative of the Secretary-General</td>
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<tr>
<td>SSR</td>
<td>security sector reform</td>
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<tr>
<td>TTF</td>
<td>Thematic Trust Fund</td>
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<tr>
<td>UN</td>
<td>United Nations</td>
</tr>
<tr>
<td>UNDP</td>
<td>United Nations Development Programme</td>
</tr>
<tr>
<td>USAID</td>
<td>United States Agency for International Development</td>
</tr>
</tbody>
</table>
## Annex B: Sample budget frameworks

**B.1: Results-focused transition framework (RFTF) on DDR (used in Liberia)**

| DDR KEY PRIORITIES, OUTCOMES, BENCHMARKS AND FUNDING REQUIREMENTS, 2004–2005* |
|-------------------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Months                                          | January–June ’04 | July–December ’04 | Total ’04 | January–June ’05 | July–December ’05 | Total 2005 | Total ’04–’05 |
| Qualitative $ (mln.)                           |                  |                  |          |                  |                  |          |                |
| Qualitative $ (mln.)                           |                  |                  |          |                  |                  |          |                |
| Total $ (mln.)                                  |                  |                  |          |                  |                  |          |                |

### Priority 1: Disarmament and demobilization

**I. Outcome**
- 21,000 combatants disarmed and demobilized**
- 32,000 combatants disarmed and demobilized**

**II. Progress benchmark**
- (1) 30,000 weapons collected; (2) 21,000 ID cards printed
- (1) 50,000 weapons collected; (2) 32,000 ID cards printed

**III. Financial requirements**

- **a) Capital investments**
  - 4,838,063
  - 7,257,095
  - 12,095,158
  - 0
  - 0
  - 0
  - 12,095,158

- **b) Incremental recurrent expenditures**
  - 0
  - 0
  - 0
  - 0
  - 0
  - 0
  - 0

- **c) Technical assistance**
  - 0
  - 0
  - 0
  - 0
  - 0
  - 0
  - 0

**Total financial requirements: Priority 1**
- 4,838,063
- 7,257,095
- 12,095,158
- 0
- 0
- 0
- 12,095,158

### Priority 2: Reintegration

**I. Outcome**
- 21,000 ex-combatants discharged and admitted into economic reintegration assistance programmes
- 32,000 ex-combatants discharged and admitted into economic reintegration assistance programmes
- 13,000 ex-combatants reified
- 13,000 ex-combatants reified
### II. Progress benchmark

| (1) 21,000 ex-combatants received full TSA; (2) 21,000 ex-combatants validated and verified for reintegration assistance | (1) 21,000 ex-combatants received full TSA; (2) 21,000 ex-combatants validated and verified for reintegration assistance | 13,000 ex-combatants received economic reintegration assistance | 13,000 ex-combatants received economic reintegration assistance |

### III: Financial requirements

| a) Capital investments | 6,443,684 | 9,665,526 | 16,109,211 | 11,401,974 | 11,401,974 | 22,803,947 | 38,913,158 |
| b) Incremental recurrent expenditures | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| c) Technical assistance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

**Total financial requirements:**

| 6,443,684 | 9,665,526 | 16,109,211 | 11,401,974 | 11,401,974 | 22,803,947 | 38,913,158 |

### Priority 3: Child ex-combatants

#### I. Outcome

| 8,400 child ex-combatants disarmed and demobilized | 12,600 child ex-combatants disarmed and demobilized; 10,500 reunified and/or reintegrated | 10,500 child ex-combats reunified and/or reintegrated |

#### II. Progress benchmark

| 8,400 ID cards printed and discharge certificate issued | 12,600 ID cards printed and discharge certificate issued; 10,500 child ex-combatants processed in Interim Care Centers | 10,500 child ex-combatants processed in Interim Care Centers |

#### III: Financial requirements

<p>| a) Capital investments | 1,283,158 | 1,924,737 | 3,207,895 | 836,842 | 836,842 | 4,044,737 |</p>
<table>
<thead>
<tr>
<th>Integrated Disarmament, Demobilization and Reintegration Standards</th>
<th>1 August 2006</th>
</tr>
</thead>
</table>

| b) Incremental recurrent expenditures                           | 0              | 0   | 0   | 0   | 0   | 0   | 0   |
| c) Technical assistance                                          | 0              | 0   | 0   | 0   | 0   | 0   | 0   |

Total financial requirements: Priority 3  
1,283,158  
1,924,737  
3,207,895  
836,842  
0  
836,842  
4,044,737

**Priority 4:**  
**Disabled ex-combatants**

| I. Outcome | 550 disabled ex-combatants given access to medical and rehabilitation assistance | 850 disabled ex-combatants given access to medical and rehabilitation assistance |
| I. Progress benchmark | 550 disabled ex-combatants issued with ID cards to access assistance | 850 disabled ex-combatants issued with ID cards to access assistance |

| III: Financial requirements | 285,921 | 428,882 | 714,803 | 0 | 0 | 0 | 714,803 |
| a) Capital investments | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| b) Incremental recurrent expenditures | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| c) Technical assistance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Total financial requirements: Priority 4  
285,921  
428,882  
714,803  
0  
0  
0  
714,803
Priority 5: Information and sensitization

I. Outcome
53,000 ex-combatant and communities at large informed about DDRR process

II. Progress benchmark
(1) 21,000 pamphlets distributed; (2) daily radio broadcasts

III: Financial requirements

<table>
<thead>
<tr>
<th></th>
<th>I. Outcome</th>
<th>II. Progress benchmark</th>
<th>III: Financial requirements</th>
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<tbody>
<tr>
<td></td>
<td>Priority 5</td>
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<td>a) Capital investments</td>
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<td>97,632</td>
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<td>requirements:</td>
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<td>369,605</td>
<td>97,632</td>
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<tr>
<td>Priority 5</td>
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<td>195,263</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>564,868</td>
</tr>
</tbody>
</table>

Priority 6: Coordination and management

I. Outcome
21,000 ex-combatant processed according to joint implementation plan

II. Progress benchmark
32,000 ex-combatant processed according to joint implementation plan

III: Financial requirements

<table>
<thead>
<tr>
<th></th>
<th>I. Outcome</th>
<th>II. Progress benchmark</th>
<th>III: Financial requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Priority 6</td>
<td>Priority 5</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>a) Capital investments</td>
</tr>
<tr>
<td></td>
<td></td>
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<td>13,000</td>
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<td>13,000</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>b) Incremental recurrent</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>0</td>
</tr>
<tr>
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<td></td>
<td></td>
<td></td>
<td>c) Technical assistance</td>
</tr>
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<td></td>
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<tr>
<td>Total financial</td>
<td>13,000</td>
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<tr>
<td>requirements:</td>
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<tr>
<td>Priority 5</td>
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<td>13,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>13,000</td>
</tr>
</tbody>
</table>
### II. Progress

<table>
<thead>
<tr>
<th>Benchmark</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joint Implementation Unit established</td>
<td>(1) 53,000 ex-combatants received full TSA; (2) 53,000 ex-combatants validated and verified for reintegration assistance</td>
</tr>
<tr>
<td>County DDR offices established</td>
<td>13,000 ex-combatants received economic reintegration assistance</td>
</tr>
<tr>
<td>Referral Counsellors deployed</td>
<td>13,000 ex-combatants received economic reintegration assistance</td>
</tr>
</tbody>
</table>

### III: Financial requirements

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Priority 6</th>
<th>Priority 7</th>
<th>Priority 8</th>
<th>Priority 9</th>
<th>Priority 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital investments</td>
<td>320,500</td>
<td>1,212,589</td>
<td>1,175,089</td>
<td>1,175,089</td>
<td>1,212,589</td>
</tr>
<tr>
<td>Incremental recurrent expenditures</td>
<td>1,212,589</td>
<td>2,425,177</td>
<td>1,175,089</td>
<td>2,350,177</td>
<td>4,775,355</td>
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<tr>
<td>Technical assistance</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Total financial requirements</td>
<td>1,533,089</td>
<td>2,745,677</td>
<td>2,350,177</td>
<td>5,095,855</td>
<td></td>
</tr>
</tbody>
</table>

*The overall DDRR programme is a three-year programme, and will therefore continue beyond the time-frame of the needs assessment, which implies that the total requirements are larger than presented in this needs assessment. The total needs of the DDRR programme are estimated to amount to $75 million.*

**The number of ex-combatants includes child ex-combatants, disabled ex-combatants and women ex-combatants.
### B.2: Examples of integrated DDR programme planning (used in Sudan)

**CONSOLIDATED PROGRAMME BUDGET IDDRP - WORKING DRAFT, MAY 2005**

<table>
<thead>
<tr>
<th>Description (category)</th>
<th>Budget: July 2005–December 2006</th>
<th>Proposed Japanese contribution</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>M/M</td>
<td>in $</td>
</tr>
</tbody>
</table>

#### I. Personnel

- National directorates and programme staff compensation
- Head of State Office (9 @ $650 p/m)  
  - 17  
  - $99,450
- Head of Field Office (10 @ $500 p/m)  
  - 15  
  - $75,000
- Reintegration Officer (45 @ $400 p/m)  
  - 18  
  - $324,000
- IT Officers (19 @ $400 p/m)  
  - 15  
  - $114,000
- Finance Officer (19 @ $400 p/m)  
  - 15  
  - $114,000
- Supervisors (40 @ $400 p/m)  
  - 12  
  - $192,000
- International Technical Advisers
  - Chief Technical Advisers (6 @ $10,500 p/m)  
    - 17  
    - $1,071,000
  - Reintegration Advisers (12 @ $8,200 p/m)  
    - 17  
    - $1,477,000
  - Supervisors (6 @ $8,200 p/m)  
    - 14  
    - $688,800
  - Consultants (8 @ $12,000 p/m)  
    - 96,000
- Activity total  
  - $4,251,250

#### II. Directorates’ capacity-building

- Building/Rehabilitation of offices  
  - (11 State Offices x $45,000; 25 Field Offices x $28,000)  
    - 1,195,000
- DDR Commissions Secretariat support  
  - $570,000
- Activity total  
  - $1,195,000

#### III. Children associated with armed forces and groups (17,000 children)

- Demobilization and removal of children  
  - $5,155,000  
  - $801,650
- Tracing and reunification  
  - $1,850,000  
  - $347,000
- Reintegration*  
  - $16,135,000  
  - $2,281,000
- UNICEF staff  
  - $3,600,000  
  - $240,000
- UNICEF programme support  
  - $5,232,576  
  - $330,269
- Activity total  
  - $31,972,576  
  - $3,999,919
### IV. Women associated with armed forces and groups (target group 5,600): Gender and women and security

<table>
<thead>
<tr>
<th>Activity</th>
<th>2005</th>
<th>2006</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessments and public awareness</td>
<td>290,000</td>
<td>160,382</td>
</tr>
<tr>
<td>Registration, screening, counselling and reininsertion support</td>
<td>840,000</td>
<td>237,334</td>
</tr>
<tr>
<td>Reintegration support</td>
<td>3,360,000</td>
<td>1,052,000</td>
</tr>
<tr>
<td>Support to gender issues in DDR</td>
<td>350,000</td>
<td>521,430</td>
</tr>
<tr>
<td>Activity total</td>
<td>4,840,000</td>
<td>1,971,146</td>
</tr>
</tbody>
</table>

### V. Disabled ex-combatants (target group 9,500)

<table>
<thead>
<tr>
<th>Activity</th>
<th>2005</th>
<th>2006</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registration, screening and counselling</td>
<td>1,710,000</td>
<td></td>
</tr>
<tr>
<td>Disability support and referral</td>
<td>2,090,000</td>
<td></td>
</tr>
<tr>
<td>Economic reintegration support</td>
<td>5,700,000</td>
<td></td>
</tr>
<tr>
<td>Activity total</td>
<td>9,500,000</td>
<td></td>
</tr>
</tbody>
</table>

### VI. Disarmament, and arms reduction and control

<table>
<thead>
<tr>
<th>Activity</th>
<th>2005</th>
<th>2006</th>
</tr>
</thead>
<tbody>
<tr>
<td>ARC guiding principles and plans</td>
<td>29,200</td>
<td></td>
</tr>
<tr>
<td>Arms and ammunition data collection plan and programme</td>
<td>177,200</td>
<td></td>
</tr>
<tr>
<td>Verification of disarmament for other armed groups (OAG)</td>
<td>184,400</td>
<td></td>
</tr>
<tr>
<td>Civil society network and steering committee (north and south)</td>
<td>20,000</td>
<td>4,200</td>
</tr>
<tr>
<td>Baseline information gathering plan and programme</td>
<td>228,100</td>
<td>72,660</td>
</tr>
<tr>
<td>Public information and community awareness plan and campaigns</td>
<td>221,000</td>
<td>156,713</td>
</tr>
<tr>
<td>Interim arms control measures plans and programmes*</td>
<td>2,392,000</td>
<td>1,423,800</td>
</tr>
<tr>
<td>Stockpile management plan and programme</td>
<td>50,000</td>
<td></td>
</tr>
<tr>
<td>Legal framework for arms, ammunition and explosives (consultant)</td>
<td>34,729</td>
<td>34,729</td>
</tr>
<tr>
<td>Border strengthening plan and programme</td>
<td>45,000</td>
<td></td>
</tr>
<tr>
<td>Popular defence forces arms collection and QIP</td>
<td>2,123,184</td>
<td>2,123,184</td>
</tr>
<tr>
<td>Popular defence forces arms registration in transitional areas and cross-lines pastoralist community conflict management</td>
<td>211,916</td>
<td>211,916</td>
</tr>
<tr>
<td>Explosive ordnance disposal and mobile weapons destruction: 5 sites</td>
<td>500,000</td>
<td></td>
</tr>
<tr>
<td>Activity total</td>
<td>6,216,729</td>
<td>4,027,202</td>
</tr>
</tbody>
</table>
### VII. Community Security Fund (15,100 vouchers @ $200 + 180 community microprojects @ $5,000)

<table>
<thead>
<tr>
<th>Activity</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Youth at risk programmes</td>
<td>920,000</td>
</tr>
<tr>
<td>Reconciliation and dispute resolution</td>
<td>400,000</td>
</tr>
<tr>
<td>Community policing and support services</td>
<td>750,000</td>
</tr>
<tr>
<td>Women and security activities</td>
<td>600,000</td>
</tr>
<tr>
<td>Communications and infrastructure</td>
<td>1,850,000</td>
</tr>
<tr>
<td><strong>Activity total</strong></td>
<td><strong>4,520,000</strong></td>
</tr>
</tbody>
</table>

#### VIII. Equipment

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle 4x4 (1 per State Office, total 11)</td>
<td>500,000</td>
</tr>
<tr>
<td>Motorcycles ($6,000 each x 2 x 25 Field Offices)</td>
<td>300,000</td>
</tr>
<tr>
<td>Computers, printers, copier, palms, GPS and scanners</td>
<td>684,000</td>
</tr>
<tr>
<td>V SAT and Thuraya</td>
<td>288,000</td>
</tr>
<tr>
<td>Generators, stabilisers, solar panels</td>
<td>360,000</td>
</tr>
<tr>
<td><strong>Activity total</strong></td>
<td><strong>2,132,000</strong></td>
</tr>
</tbody>
</table>

#### IX. Operational support

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operational costs ($27,000 per office)</td>
<td>972,000</td>
</tr>
<tr>
<td><strong>Activity total</strong></td>
<td><strong>972,000</strong></td>
</tr>
</tbody>
</table>

**Total**

|                      | 65,599,555 | 9,998,267 |

*Note: Would be implemented under the Security for Development Fund support component.*
Annex C: Excerpt from General Assembly resolution A/RES/59/296

Takes note of the note by the Secretary-General (definitions);*

Notes that reinsertion activities are part of the disarmament and demobilization process, as outlined in the note by the Secretary-General;

Emphasizes that disarmament, demobilization and reintegration programmes are a critical part of peace processes and integrated peacekeeping operations, as mandated by the Security Council, and supports strengthening the coordination of those programmes in an integrated approach;

Stresses the importance of a clear description of respective roles of peacekeeping missions and all other relevant actors;

Also stresses the need for strengthened cooperation and coordination between the various actors within and outside the United Nations system to ensure effective use of resources and coherence on the ground in implementing disarmament, demobilization and reintegration programmes;

Requests the Secretary-General, when submitting future budget proposals containing mandated resource requirements for disarmament, demobilization and reinsertion, to provide clear information on these components and associated post and non-post costs;

Notes that the components used by the Secretary-General for budgeting for disarmament, demobilization and reinsertion activities are set out in the note by the Secretary-General, recognizing ongoing discussions on these concepts;

Notes also the intention of the Secretary-General to submit integrated disarmament, demobilization and reintegration standards to the General Assembly at its sixtieth session;
Annex D.1: Developing an RBB framework

**DDR objective statement.** The DDR objective statement draws its legal foundation from Security Council mission mandates. It is important to note that the DDR objective will not be fully achieved in the lifetime of the peacekeeping mission, although certain specific activities such as the (limited) physical disarmament of combatants may be completed. Other important aspects of DDR such as reintegration, establishment of the legal framework, and the technical and logistic capacity to destroy or make safe small arms and light weapons all extend beyond the duration of a peacekeeping mission. In this regard, the objective statement must reflect the contribution of the peacekeeping mission to the ‘progress towards’ the DDR objective.

**SAMPLE DDR OBJECTIVE STATEMENT**

‘Progress towards the disarmament, demobilization and reintegration of members of armed forces and groups, including meeting the specific needs of women and children associated with such groups, as well as weapons control and destruction’

**Indicators of achievement.** The targeted achievement should include the following dimensions: (1) include no more than five clear and measurable indicators; (2) in the first year of a DDR programme, the most important indicators of achievement should relate to the political will of the government to develop and implement the DDR programme; and (3) include baseline information from which increases/decreases are measured.

**SAMPLE SET OF DDR INDICATORS OF ACHIEVEMENT**

- ‘Transitional Government of National Unity adopts legislation establishing national and sub-national DDR institutions, and related weapons control law’
- ‘Establishment of national and sub-national DDR authorities’
- ‘Development of a national DDR programme’
- ‘34,000 members of armed forces and groups participate in disarmament, demobilization and community-based reintegration programmes, including 14,000 children released to return to their families’
- ‘Destroyed 4,000 of an estimated 20,000 weapons established in a small arms baseline survey conducted in January 2005’

**Outputs.** When developing the DDR outputs for an RBB framework, programme managers should bear in mind the following considerations: (1) specific references to the time-frame for implementation should be included; (2) DDR technical assistance or advice needs should be further defined to specify what that means in practice and, if possible, quantified (e.g., workshops, training programmes, legislative models, draft work plans); (3) the beneficiaries or recipients of the mission’s efforts should be included in the output description; and (4) the verb should precede the output definition (e.g., Destroyed 9,000 weapons; Chaired 10 community sensitization meetings).

**SAMPLE SET OFDDR OUTPUTS**

- ‘Provided technical support (advice and programme development support) to the National DDR Coordination Council (NDDRCC), regional DDR commissions and their field structures, in collaboration with international financial institutions, international development organizations, non-governmental organizations and donors, in the development and implementation of a national DDR programme for all armed forces and groups’
‘Provided technical support (advice and programme development support) to assist the government in strengthening its capacity (legal, institutional, technical and physical) in the areas of weapons collection, control, management and destruction’

‘Conducted 10 training courses on DDR and weapons control for the military and civilian authorities in the first 6 months of the mission mandate’

‘Supported the DDR institutions to collect, store, control and destroy (where applicable and necessary) weapons, as part of the DDR programme’

‘Conducted with the DDR institutions and in partnership with international research institutions, small arms survey, economic and market surveys, verification of the size of the DDR caseload and eligibility criteria to support the planning of a comprehensive DDR programme in x’

‘Developed options (eligibility criteria, encampment options and integration in civil administration) for force reduction process for the government of national unity’

‘Disarmed and demobilized 15,000 allied militia forces, including provided related services such as feeding, clothing, civic education, medical profiling and counselling, education, training and employment referral, transitional safety allowance, training material’

‘Disarmed and demobilized 5,000 members of special groups (women, disabled and veterans), including provided related services such as feeding, clothing, civic education, medical, profiling and counselling, education, training and employment referral, transitional safety allowance, training material’

‘Negotiated and secured the release of 14,000 (UNICEF estimate) children associated with the armed forces and groups, and facilitated their return to their families within 12 months of the mission’s mandate’

‘Developed, coordinated and implemented reinsertion support at the community level for 34,000 armed individuals, as well as individuals associated with the armed forces and groups (women and children), in collaboration with the national DDR institutions, and other UN funds, programmes and agencies. Community-based DDR projects include: transitional support programmes; labour-intensive public works; microenterprise support; training; and short-term education support’

‘Developed, coordinated and implemented community-based weapons for quick-impact projects programmes in 40 communities in x’

‘Developed and implemented a DDR and small arms sensitization and community mobilization programme in 6 counties of x, inter alia, to develop consensus and support for the national DDR programme at national, regional and local levels, and in particular to encourage the participation of women in the DDR programme’

‘Organized 10 regional workshops on DDR with x’s military and civilian authorities’

**External factors.** When developing the external factors of the DDR RBB framework, programme managers are requested to identify those factors that are outside the control of the DDR unit. These should not repeat the factors that have been included in the indicators of achievement.

**SAMPLE SET OF EXTERNAL FACTORS**

‘Political commitment on the part of the parties to the peace agreement to implement the programme’ [rather than ‘Transitional Government of National Unity adopts legislation establishing national and sub-national DDR institutions, and related weapons control laws’ — which was stated as an indicator of achievement above]

‘Commitment of non-signatories to the peace process to support the DDR programme’

‘Timely and adequate funding support from voluntary sources’
## Annex D.2: RBB for DDR in Sudan

<table>
<thead>
<tr>
<th>OBJECTIVE</th>
<th>INDICATORS OF ACHIEVEMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.2 Progress towards the disarmament, demobilization and reintegration of members of armed forces and groups, including meeting the specific needs of women and children associated with such forces and groups, as well as weapons control and destruction</td>
<td>4.2.1 Government of National Unity adopts legislation establishing national and subnational DDR institutions, and related weapons control laws</td>
</tr>
<tr>
<td></td>
<td>4.2.2 Establishment of national and subnational DDR authorities</td>
</tr>
<tr>
<td></td>
<td>4.2.3 Development of a national DDR programme</td>
</tr>
<tr>
<td></td>
<td>4.2.4 34,000 members of armed groups participate in disarmament, demobilization and community-based reintegration programmes, including children released to return to their families</td>
</tr>
</tbody>
</table>

### OUTPUTS

- Provide technical support (advice and programme development support) to the National DDR Coordination Council (NDDRCC), the Northern and Southern DDR commissions and their field structures, in collaboration with international financial institutions, international development organizations, non-governmental organizations and donors, in the development and implementation of a national DDR programme for all armed forces and groups.
- Provide technical support (advice and programme development support) to assist the government in strengthening its capacity (legal, institutional, technical and physical) in the areas of weapons collection, control, management and destruction.
- Conduct 10 training courses on DDR and weapons control for the military and civilian authorities.
- Collect, store and destroy 34,000 weapons, as part of the DDR programme (planning assumption to be refined by small arms baseline survey).
- Conduct on behalf of the Government of National Unity, in partnership with international research institutions, small arms survey, economic and market surveys, verification of the size of the DDR caseload and eligibility criteria to support the planning of a comprehensive DDR programme in Sudan.
- Develop options (eligibility criteria, encampment options and integration in civil administration) for force reduction process for the Government of National Unity.
- Prepare contingency plans to disarm and demobilize 15,000 allied militia forces, including provide related services such as feeding, clothing civic education, medical, profiling and counselling, education, training and employment referral, transitional safety allowance, and training material.
- Disarm and demobilize 5,000 members of special groups (women, disabled and veterans), including provide related services such as feeding, clothing, civic education, medical, profiling and counselling, education, training and employment referral, transitional safety allowance, and training material.
- Negotiate and secure the release of 14,000 (UNICEF estimate) children associated with armed forces and groups, and facilitate their return to their families.
- Develop, coordinate and implement reinsertion support at the community level for 34,000 armed individuals, in collaboration with the national DDR institutions, and other United Nations funds, programmes and agencies. Community-based DDR projects include: transitional support programmes; labour intensive public works; microenterprise support; training; and short-term education support.
- Develop, coordinate and implement community-based weapons for quick impact projects programmes in xx communities in Sudan.
- Develop and implement a DDR and small arms sensitization and community mobilization programme in xx districts (to be confirmed by mission) of Sudan, inter alia, to develop consensus and support for the national DDR programme at national, regional and local levels, and in particular to encourage the participation of women in the DDR programme.
- Organize 10 regional workshops with Sudanese military and civilian authorities on DDR.
- Organize biweekly meetings with bilateral and multilateral donors on coordination of support to the disarmament, demobilization and reintegration programme.
- Conduct training in HIV/AIDS awareness and prevention for 200 representatives from the military, government ministries, NGOs, civil society and other United Nation agencies in order to mainstream HIV/AIDS in the national DDR programme.
### Annex E: Phased funding requirements for DDR

<table>
<thead>
<tr>
<th></th>
<th>YEAR 1</th>
<th>YEAR 2</th>
<th>YEAR 3</th>
<th>YEAR 4</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Q1</td>
<td>Q2</td>
<td>Q3</td>
<td>Q4</td>
</tr>
<tr>
<td>Peace negotiations</td>
<td>3</td>
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</tr>
<tr>
<td>Pre-mission planning</td>
<td>2</td>
<td>2</td>
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</tr>
<tr>
<td>Programme development</td>
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<td>3</td>
<td>3</td>
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<td>Disarmament component</td>
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<td>Demobilization</td>
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<tr>
<td>Reinsertion</td>
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</tr>
<tr>
<td>Reintegration</td>
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<td>National capacity development</td>
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<tr>
<td>Awareness-raising/ sensitization</td>
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<tr>
<td>Reconciliation/ peace-building</td>
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<tr>
<td>Community-based disarmament</td>
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<tr>
<td>Operations</td>
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1. Assessed contributions
2. Pre-mandate commitment authority
3. Rapid-response funds
4. Voluntary contributions
5. Loans and credits
6. Agency in-kind contributions
Annex F: Overview of institutional and management arrangements for funding

Level 3 Structures and Processes - Financing and Budgeting
Endnotes

1 For more information, see http://www.undp.org/bcpr/.
2 For more information, see http://europa.eu.int/comm/external_relations/cpcm/rrm/index.htm.