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## **Executive summary with key findings and recommendations of the report on the baseline study on integrating human rights and gender into the Common Security and Defence Policy**

Human rights and gender equality are fundamental principles of the European Union (EU), and of its foreign and defence policies. From the outset, efforts have been made to ensure that human rights and gender are reflected in the mandates and work of Common Security and Defence Policy (CSDP) missions and operations.

Human rights abuses are part of the conflict and crisis dynamics in all the different contexts in which CSDP missions and operations are currently active. Human rights abuses, and, especially, patterns of abuse such as illegal detention, lack of due process and torture, have a direct impact on the legitimacy of the institutions that CSDP missions support through advice, capacity-building and training and which they partner to provide direct security. In many of the contexts in which CSDP missions and operations are currently active, gender-based discrimination and gender-based and sexual violence deprive women and girls, and also men and boys, of their full participation in society and the full realisation of their opportunities.

Contributing to the establishment of institutions with full accountability that respect the rights of citizens is thus both a legitimacy issue for the EU and for CSDP missions. Over the past decade, policy commitments have been translated into practice by seeking to include references to gender and human rights in planning documents and by ensuring that all missions have dedicated staff on these issues. The study further enhances those efforts by establishing baselines which will allow the EU to measure progress over time and by identifying gaps which should be most urgently addressed.

### **The baseline study**

In May 2015, the European Council welcomed the idea of a baseline study on the integration of human rights and gender into CSDP and called on the High Representative/Vice-President to present the findings and recommendations of the baseline study by 2016. This baseline study report is the result of this initiative. It is a stock-taking exercise that has sought to identify how integrating human rights and gender have been included into CSDP planning and implementation and what more can and should be done. It is also tool for highlighting progress made and showcasing examples of good practice.

The baseline study focuses on human rights *and* gender, as CSDP policies have consistently promoted human rights and gender together. However, efforts have been made in the baseline study to separate human rights from gender in order to differentiate the complementary importance to CSDP of, on the one hand, human rights and, on the other, gender and United Nations Security Council Resolution (UNSCR) 1325 on women, peace and security.

It is the first time that a baseline study on integrating human rights and gender has been conducted for CSDP. The study identifies 21 baselines to assess the extent to which human rights and gender equality have been integrated into CSDP and comprises two parts: planning and impact case-studies carried out for seven CSDP missions, and five questionnaires to CSDP services – the Crisis Management and Planning Directorate (CMPD), the Civilian Planning and Conduct Capability (CPCC), the Military Staff (EUMS) and the European Security and Defence College (EADC) – and all CSDP missions.

## **MAIN FINDINGS:**

The main findings of the baseline study are:

### **Internal integration**

1. **Planning case studies.** The fact that the crisis management procedures refer to human rights and gender has ensured that most CSDP strategic and operational planning documents also do so. However, the references remain generic and the crisis management procedures provide limited guidance on what missions should do to integrate human rights and gender into their core mandate, or on what resources — financial, technical or human — are needed to ensure this integration occurs. The six-monthly reports from the missions mainly tend to include descriptive information on human rights and gender activities, and it is only when missions produce special reports that more analytical feedback becomes available. Strategic reviews are for the most part silent on human rights and gender, suggesting that human rights and gender are not viewed as strategically relevant for CSDP missions.
2. **Impact case studies.** The impact of human rights and gender activities in missions is greatest and best understood by the missions when they employ human rights' and gender experts and when there are well-developed institutional structures and mechanisms for integrating human rights and gender. Missions that have integrated human rights and gender from the early planning and implementation stages — through senior management engagement, well-placed expert advisers, focal point systems, etc. — are more likely to implement human rights and gender activities than missions that do not have relevant structures in place. This is because they are viewed as integral to the mission's core mandate rather than supplementary tasks. Focal point systems (i.e. establishing an institutional structure for integrating human rights within the mission) coupled with context-specific human rights and gender training contribute to greater understanding of the linkages between human rights and gender and the mission's mandate. Staff can then work more proactively with colleagues to integrate human rights and gender more fully within their particular area of activity.
3. **Commitment and resources.** Human rights and gender are recognised as core values of the EU, and thus also as integral to CSDP. This notwithstanding, CSDP institutional culture, lack of knowledge and lack of host country commitment are all viewed as significant

challenges to fully integrating human rights and gender. The tangible results of CSDP management's engagement on human rights and gender equality are limited, and the responsibility is almost entirely placed on human rights and gender advisers and focal points. Most civilian missions have full-time human rights and gender advisers, and almost all military missions or operations have non-expert focal point positions. However, focal points usually spend less than half their time on human rights and gender, have no prior experience on these issues and may be deployed to the mission/operation for as little as three months.

4. **Knowledge management and training.** Most pre-deployment and in-mission training provided by the EU — in Brussels or in missions and operations — includes sessions on human rights and gender. However, almost half of those who replied to the questionnaires had not received any training on human rights and gender. This is probably because some Member States do not include human rights and gender in the pre-deployment training they provide and because multiple recruitment bases are used (seconded staff, international and local contracts, etc.) and the same training opportunities are not ensured for all. The high rate of staff turnover is an additional challenge, as evidenced by the fact that half of the current human rights advisers and focal points had not participated in the July 2015 annual meeting of human rights and gender advisers and most had no access to the CSDP human rights and gender email list in spite of efforts to update the list every six months.

### Internal participation

5. **Women's and men's representation in CSDP.** Women constitute about 25 % of staff in CSDP civilian missions. There are no comprehensive statistics available regarding the participation of women in CSDP military missions and operations. The gender imbalance does affect the CSDP public profile and work culture.
6. **Gender-disaggregated human resources statistics.** CPCC has gender-disaggregated statistics concerning its staff, but EUMS does not. However, the CPCC gender-disaggregated statistics do not show what positions women and men hold in a mission/operation. Consequently, CSDP cannot over time show progress on women in CSDP leadership positions or be used to identify teams, units and divisions that are all male or female and where additional support would be needed to increase women's or men's representation.
7. **Conduct and discipline.** Conduct and discipline is an integral element of EU pre-deployment and in-mission training, but only a few missions have any additional focus on sexual or gender-based harassment. In 2015, no cases of sexual or gender-based harassment, abuse or violence were reported by missions and operations. The participants at the annual meeting of CSDP human rights and gender advisers (May 2016) strongly suggested that

focusing on reported cases does not fully reflect CSDP reality, as staff may choose not to report cases of harassment or because cases may be resolved through informal mediation mechanisms, where these exist.

## External integration

8. **Human rights.** Human rights norms, including, for example, due process and the prohibition of illegal detention and torture, underpin much of the legal framework for European security and justice sector institutions. Human rights are then often integrated into CSDP activities in these areas. However, without particular attention to human rights, missions are unlikely to develop structured approaches to addressing systemic human rights abuses, or risks of abuse, within the institutions that they support and which undermine the legitimacy of those institutions. CSDP human rights advisers have, for example, at several annual meetings expressed concern that although the EU has guidelines on the prohibition of torture, CSDP missions do not have a concerted strategy for addressing torture in the institutions with which they work.
9. **Gender Equality.** In order for CSDP missions to have a real impact on gender equality/women's empowerment in the institutions with which they work, the missions need to lead by example: increasing women's representation in CSDP management and in CSDP in general will enhance the operational effectiveness for gender equality in CSDP. Within CSDP, gender equality tends to focus on women's rights and gender training, increasing women's participation within institutions and supporting institutional structures focused on preventing gender- or sexual violence. The sustainability of this work is very much dependent on how well it is integrated into the overall mandate of the mission and adapted to the crisis or a particular country situation.

## External participation

10. **Partnerships.** Human rights and gender issues, especially integrating UNSCR 1325 on women, peace and security into the EU's CSDP, increasingly feature in discussions especially with the UN and NATO, at both management and desk level. Strategic (rather than systematic) cooperation has already shown that there is potential for greater cooperation on closer and more effective interaction in capacity-building, the roles of advisers and country/crisis situations.
11. **Host governments.** The security and defence sectors in EU MS and in most of the contexts where CSDP missions and operations are deployed face significant challenges with regard to women's participation and representation. Consequently, men and women are not equally represented in our CSDP missions and operations or in the national/regional/international organisations that we work with. Most CSDP missions and operations do, however, work with some women in the national security institutions both because women happen to hold

positions where they are direct counterparts to the CSDP mission or operation, or because the mission/operation has activities that focus directly on women's participation in the national security forces. However, the missions/operations have limited guidance as to how to encourage women's increased participation in national security forces and how, for example, women should engage with women in national security forces in conservative contexts.

12. **Human rights defenders.** CSDP services in Brussels do, to a limited extent, consult and work with civil society. This is largely done through the European Peace Liaison Office and the International Committee of the Red Cross (ICRC), and on an ad hoc basis when approached by individual organisations. Civilian missions have instructions to hold consultations with civil society and many have a civil society liaison officer. Military missions work with civil society as part of coordination groups and on specific projects. While human rights defenders may be part of the civil society groups, CSDP missions and operations do not work specifically with human rights defenders.

### **RECOMMENDATIONS:**

Based on the findings of the baseline study, the following key recommendations have been identified:

1. **Planning and review:** A more systematic, context-specific and result-oriented approach would be achieved by:
  - integrating human rights and gender expertise from the earliest planning stages and strategic reviews (i.e. this should be done in the early stages, not only in the drafting phase);
  - integrating human rights and gender expertise into operational planning teams in CPCC and EUMS;
  - working together with planners to develop human rights and gender checklists and scenario-based tools, specific to CSDP planning and review;
  - implementing the new guidelines for mission implementation plans; and
  - requesting from CSDP missions and operations to do annual or biannual special reports on gender and/or human rights.
2. **Management commitment and engagement:** While there is a recognition that human rights and gender equality are basic values of the EU — and of the CSDP — most managers do not actively engage on human rights and gender issues. All CSDP managers should receive obligatory pre-posting training on human rights and gender, and they should be briefed on the general principles and the main human rights and gender issues relevant to their mission and area of operations. They should also be informed about the best practices of integrating human rights and gender into their mission/operation activities.

3. **Human rights and gender resources at the EEAS:** In order to enable CSDP structures in Brussels to ensure that human rights and gender are integrated into strategic and operational planning documents and that advisers and focal points in missions and operations receive the support that they need, **human rights and gender advisers** — well-placed and visible in the institutional matrices — should be included in CPCC and EUMS. The CSDP structures in Brussels HQ could then ensure adequate support functions, such as:
  - systematic inclusion of human rights and gender in all levels of planning documents;
  - follow-up to annual meetings;
  - managing the CSDP human rights and gender email list / ‘community of practice’; and
  - establishing a central resource database on human rights and gender relevant to CSDP.
4. **Human rights and gender resources in CSDP civilian missions.** Most CSDP civilian missions now have human rights and gender advisers, who are frequently recruited in the mission establishment phase. This is a welcome development which has already borne fruit. However, CPCC should assess in more detail what institutional resources are needed for a mission to ‘integrate human rights and gender’ and where human rights and gender advisers are most usefully placed. The CPCC should also promote the creation of gender focal points in all missions. These will be integrated in the planned EU network of gender focal points.
5. **Human rights and gender resources in CSDP military missions and operations.** EUMS should encourage the inclusion of expert advisers rather than focal points for international humanitarian law, human rights and gender in their missions and operations (drawing on the positive experiences of EUTM Mali and Operation Sophia). Military training missions, in particular, need to ensure that all training curricula cover:
  - humanitarian law, including protection of civilians;
  - children and armed conflict; and
  - the prevention of sexual and gender-based violence.
6. **Peer-to-peer learning.** The annual meetings of CSDP human rights and gender advisers remain a useful tool for sharing experiences and networking. Human rights and gender advisers and focal points should be encouraged to make use of available tools such as the CSDP human rights and gender email list and the human rights and gender archive on the online civilian missions platform, as well as of the EU network of gender focal points, which is currently under consideration in the EEAS.
7. **Human rights and gender training.** Human rights and gender training is available for personnel deployed to CSDP missions and operations, but it is currently not ensured for all. Member States should be encouraged to include human rights and gender in all their training packages, where they exist, and work should continue to develop user-friendly operational

guidance on human rights and gender and tie this in to the main thematic areas of CSDP activity.

8. **Human rights and democracy country strategies.** CSDP missions and operations should be consulted by delegations when drafting their human rights and democracy country strategies.
9. **Baseline study.** In order to deploy the full potential of the baseline study, it should be viewed as a living document, to be updated every two or three years.

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# Report on the baseline study on integrating human rights and gender into CSDP

## Table of Contents

<b>Table of Contents</b> .....	9
I.1 Introductory remarks .....	11
I.2 Background .....	14
I.3 Methodological considerations .....	15
I.4 Challenges and limitations .....	17
I.5 Structure of the report .....	18
II. Planning and impact case studies .....	18
II.1 Introduction to the planning and impact case studies (Baseline 1) .....	18
II.2 Planning case studies .....	19
II.3 Impact case studies .....	21
Introduction .....	21
Internal integration case studies .....	22
External mainstreaming case studies .....	25
Coordination — CSDP and external bodies (IOs, civil society prisons, security forces) .....	26
III. Integration of human rights and gender into CSDP structures and work processes (internal integration) .....	28
III.1 Introduction to internal integration .....	28
III.2 Human rights .....	28
Baseline 2: Leadership on human rights provided by senior management (headquarters and missions and operations) .....	28
Baseline 3: Number and placement of full-time human rights advisers (expert positions) and focal points or points of contact (non-expert positions) within the CSDP structures (headquarters and missions) .....	31
Baseline 4: Extent of human rights training available for CSDP personnel .....	34
Baseline 5: Extent of and measures for ensuring institutional knowledge on human rights .....	37
Baseline 6: Resources allocated to integrating human rights .....	40
III.3 Gender and UNSCR 1325 on women, peace and security .....	41
Baseline 7: Leadership on gender / women, peace and security provided by senior management .....	41
Baseline 8: Number and placement of full-time gender advisers (expert positions) and focal points or points of contact (non-expert positions) within the CSDP structures (headquarters and missions) .....	43
Baseline 9: Extent of gender training available for CSDP personnel .....	46
Baseline 10: Extent of and measures for ensuring institutional knowledge of gender issues/women, peace and security (UNSCR 1325 and related resolutions) .....	48
Introduction .....	48
Baseline 11: Extent of resources allocated to integrating gender/UNSCR 1325 .....	49

IV.	Women's and men's participation in CSDP missions and operations (internal participation) .....	50
IV.1	Introduction to internal participation .....	50
	Baseline 12: Number and % of women's and men's representation at different levels and efforts to encourage increased gender balance as at November 2015 .....	50
	Introduction.....	50
	Baseline.....	51
	Analysis .....	52
	Baseline 13: Number of gender-related disciplinary cases and types of measures to prevent and address gender-related discrimination, harassment, abuse and violence .....	52
	Introduction.....	52
	Baseline.....	52
	Analysis .....	53
V.	Integrating human rights and gender into CSDP activities (external integration).....	54
V.1	Introduction to external integration.....	54
V.2	Human rights .....	54
	Baseline 14: Number and type of key messages relevant for human rights .....	54
	Baseline 15: Number and type of activities and tools relevant for human rights .....	55
V.3	Gender and integration of UNSCR 1325 on women, peace and security.....	56
	Baseline 16: Number and type of key messages relevant for gender/UNSCR 1325.....	56
	Baseline 17: Number and type of activities and tools relevant for gender/UNSCR 1325 .....	57
VI.	CSDP engagement with women and human rights defenders (external participation) .....	59
VI.1	Introduction to external participation.....	59
VI.2	Human rights .....	59
	Baseline 18: Number and type of human rights initiatives in CSDP partnerships, especially in the host country, with multilateral organisations and civil society .....	59
	Baseline 19: Number and type of engagement with human rights defenders in the host country .....	62
VI.3	Gender and integration of UNSCR 1325 on women, peace and security.....	63
	Baseline 20: Number and type of gender/1325 initiatives in CSDP partnerships, especially in the host country, with multilateral organisations and civil society .....	63
	Baseline 21: Number and type of engagement with women in decision-making positions or in security sectors in the host government's institutions.....	64
VII.	Conclusions and recommendations .....	65

## **I. Introduction**

### ***I.1 Introductory remarks***

The EU is committed to integrating human rights, including equality and non-discrimination, into its foreign policy and its Common Security and Defence Policy (CSDP). EU, and thus also CSDP, priorities for human rights and gender have been established in:

- the EU action plan for human rights and democracy 2015-2019;
- the Gender action plan 2016-2020; and
- the EU's comprehensive approach to integrating United Nations Security Council Resolutions (UNSCR) 1325 and 1820 on women, peace and security.

For the past decade, the EU has acted on its policy commitments to integrate human rights and gender into CSDP. Steps have been taken to ensure that planning documents also reflect human rights and gender and that missions seek to either integrate human rights and gender throughout their activities or engage on specific human rights or gender activities. In practice, this work is facilitated by human rights and/or gender advisers and/or focal points who are deployed to CSDP missions. Since 2007, advisers and focal points have met each year in Brussels in order to get updates from headquarters and share lessons with each other.

In 2015, 20 EU Member States encouraged the EU to move from policy to practice on integrating gender into CSDP. The Member States' encouragement was given further impetus in the Council conclusions of 18 May 2015, which stated that the Council:

*Welcomes the ongoing efforts to mainstream human rights, humanitarian law and refugee law, including protection of civilians as well as children in armed conflict, into planning, implementation and review of CSDP. The Council stresses the need for a more systematic and proactive approach to these issues at all levels.*

*The Council encourages further efforts to mainstream and strengthen the implementation of UNSCR 1325 on women, peace and security, its follow-up resolutions and a gender perspective in CSDP planning, implementation and review. It welcomes the intention by the High Representative/Vice-President in the coming review of the EEAS to establish a high-level function dedicated for UNSCR 1325 and gender-related matters.*

*In order to achieve this, the Council welcomes the idea of a baseline study that would make it possible to measure progress and delivery on human rights, gender and related fields over time. The Council calls on the HR/VP to remain engaged on this matter and present the findings and recommendations of the baseline study by 2016.<sup>1</sup>*

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<sup>1</sup> Para. 17 c, doc. 8971/15.

This report presents the findings from the first baseline study focused on the integration of human rights and gender into CSDP, and makes recommendations for ways to strengthen delivery on human rights and gender over time.

The encouragement by the Member States that the EU should move from ‘policy to practice’ and the Council conclusions calling on the High Representative/Vice-President to conduct a baseline study were timely. After more than a decade of efforts to integrate human rights and gender into CSDP, it is important to take stock of the progress made and the remaining challenges, and showcase examples of good practice.

Integrating human rights and gender into CSDP is not straightforward. CSDP missions and operations<sup>2</sup> are established in some of the most challenging crisis and conflict situations. They have targeted mandates and are often working with fragile national institutions. While human rights norms do provide a framework for and, crucially, limit government action in the area of security and defence, much operational knowledge is needed to integrate human rights consistently and in an operationally effective way. Similarly, while equality between women and men is certainly one of the most fundamental norms underpinning international and European law and while women, peace and security and ending sexual violence in conflict is becoming increasingly central policy concerns, operational guidance tailored to the CSDP context is frequently lacking. While more needs to be done, it is worth noting that over the past decade the policy commitment has been translated into practice by seeking to include references to gender and human rights in planning documents and by ensuring that all missions have staff dedicated to these issues.

The baseline study seeks to do justice to the complexities of integrating human rights and gender into CSDP by documenting progress and gaps internally within CSDP as well as external achievements. It has a specific focus on participation by women. This is outlined in the mainstreaming matrix below:

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<sup>2</sup> The term ‘CSDP missions’ tends to be used for CSDP civilian missions and the term ‘CSDP missions and operations’ tends to be used for CSDP military training missions and military operations. In order to simplify the language used in this study, the term ‘CSDP missions’ will be used to cover both civilian missions and military missions and operations.

Baselines for mainstreaming human rights and gender into CSDP		
	1. Integration	2. Participation
<b>A. Internal</b>	<p><b>Baselines:</b>  <b>Case study based planning and impact baseline covering human rights and gender:</b></p> <ol style="list-style-type: none"> <li>1. Integration of human rights and gender into CSDP planning, implementation and review cycle?</li> </ol> <p><b>Human Rights</b></p> <ol style="list-style-type: none"> <li>2. Senior management engagement on human rights?</li> <li>3. Presence, location and tasks of human rights advisers and focal points?</li> <li>4. Extent of human rights training?</li> <li>5. Knowledge management on human rights?</li> <li>6. Resources allocated to integrating human rights?</li> </ol> <p><b>Gender/1325</b></p> <ol style="list-style-type: none"> <li>7. Senior management engagement on gender/1325?</li> <li>8. Presence, location and tasks of gender advisers and focal points?</li> <li>9. Extent of gender/1325 training?</li> <li>10. Knowledge management on gender/1325?</li> <li>11. Resources allocated to integrating gender/1325?</li> </ol>	<p><b>Baselines:</b>  <b>(No human rights baselines)</b>  <b>Gender/1325:</b></p> <ol style="list-style-type: none"> <li>12. Number and % of women's and men's participation at different levels (Nov 2015) and type of efforts aiming at encouraging participation and equal opportunities?</li> <li>13. No of gender-related disciplinary cases and type of efforts to prevent and address gender-related disciplinary matters?</li> </ol>
<b>B. External</b>	<p><b>Baselines:</b>  <b>Human rights</b></p> <ol style="list-style-type: none"> <li>14. Number and type of key messages relevant for human rights</li> <li>15. Number and type of activities and tools relevant for human rights</li> </ol> <p><b>Gender/1325</b></p> <ol style="list-style-type: none"> <li>16. Number and type of key messages relevant for gender/1325</li> <li>17. Number and type of activities and tools relevant for gender/1325</li> </ol>	<p><b>Baselines:</b>  <b>Human rights</b></p> <ol style="list-style-type: none"> <li>18. Number and type of human rights initiatives in CSDP partnerships, including UN, NATO, host state, ICRC and key civil society organisations</li> <li>19. Number and type of engagements with human rights defenders in host country.</li> </ol> <p><b>Gender/1325</b></p> <ol style="list-style-type: none"> <li>20. Number and type of gender/1325 initiatives in CSDP partnerships, including UN, NATO, host nation, ICRC and key civil society organisations</li> <li>21. Number and type of engagements with women in host government or host government security forces</li> </ol>

**Image: Overview of baselines for the baseline study in integrating human right and gender into CSDP.**

The matrix is useful as it underlines the fact that integration or mainstreaming demands that equal attention is paid to both internal processes and external processes and impact; and that representation and participation is a concrete and prioritised area of gender integration in particular, but also human rights.

Based on the matrix, the baseline study has developed 21 qualitative and quantitative baselines for the integration of human rights and gender into CSDP. That is, 21 measures that make it possible to take stock of and assess the means used and the extent to which human rights and gender have been integrated into CSDP. This will be further described in the sections on background and methodology below (see sections 1.2 and 1.3).

## ***1.2 Background***

The EU's strong policy commitment to human rights and gender has, over the past decade, been translated into practice by referring to human rights and gender in strategic and operational planning documents for CSDP missions and by ensuring that all missions have dedicated staff on these issues. Lessons have been documented in the reports from the annual meetings of CSDP human rights and gender advisers; the 2010 report<sup>3</sup> on lessons related to integrating human rights and gender into CSDP; and in the annual CSDP lessons learnt process.

In April 2015, 20 Member States drafted a non-paper encouraging the EU to move from 'policy to practice' on gender, peace and security in the context of CSDP. They recommended initiatives such as conducting a baseline study on gender, peace and security. On 18 May 2015, the Council of the EU in its conclusions on CSDP welcomed ongoing efforts to mainstream human rights, gender and related fields into CSDP, but encouraged a more 'systematic approach'. In order to achieve this, the Council picked up on the 20 Member States' idea of 'a baseline study that would make it possible to measure progress and delivery on human rights, gender and related fields over time' (doc. 8971/15).

In autumn 2015, an informal CMPD-led taskforce — including representatives from CPCC, EUMS, ESDC, EUPOL Afghanistan, EEAS Human Rights, the EU Principal Gender Adviser's team and the Security Policy Directorate — developed a concept note for the baseline study on integrating human rights and gender into CSDP. The concept note was also reviewed by the legal service of the EEAS, DEVCO and ECHO, and was approved by the Secretary-General Alain Le Roy. The concept note drew on experiences from similar studies and was discussed with experts from the United Nations, the Folke Bernadotte Academy (Sweden), the Crisis Management Centre (Finland) and through the European Peace Liaison Office with, one of its member organisations, International Alert.

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<sup>3</sup> Lessons and best practices of mainstreaming human rights and gender into CSDP military operations and civilian missions (doc. 17138/1/10).

By the end of February 2016, the fact-finding phase for the baseline study was complete. The fact-finding included planning and impact case studies in seven CSDP missions, chosen so that all thematic areas of current CSDP missions were represented. The planning and impact case studies were conducted in EUPOL Afghanistan, EULEX Kosovo, EUAM Ukraine, EUMM Georgia, EUNAVFOR Med / Operation Sophia, EUCAP Sahel Mali and EUTM Mali. The planning case studies were conducted by CMPD, CPCC and EUMS and the impact case studies were carried out by human rights and gender advisers in the selected missions. In addition, management, human rights and gender, human resources and other substance personnel in the CMPD, CPCC, EUMS and ESDC and in all 16 CSDP missions replied to questionnaires relevant to their functions. **In total 336 questionnaires were sent out and 258 responses were received, meaning the response rate for the questionnaires was approximately 80 %, generally considered very high for this kind of study.**

The analysis was carried out from March to May 2016. It was undertaken by a core team consisting of CMPD, CPCC and additional resources provided by EUCAP Sahel Mali. The final analysis and drafting also benefited from support by the Gender Facility of the Service for Foreign Policy Instruments. The draft report and its recommendations were discussed at the 8<sup>th</sup> annual meeting of CSDP human rights and gender advisers, held in Brussels on 12-13 May 2016. The draft report also drew on the discussion at a roundtable on EU gender focal point systems hosted by the EEAS Principal Gender Adviser on 13 May 2016. The final draft report was circulated for comments to legal service of the EEAS, EEAS Human Rights, the EU Principal Gender Advisor, the Security Policy Directorate, DEVCO and ECHO.

## ***1.3 Methodological considerations***

### **The matrix**

The matrix used for the baseline study is an adapted form of the matrix used by the Folke Bernadotte Academy in its studies on gender..<sup>4</sup> This matrix was used as it makes it possible to assess the key aspects of integration:

- internal integration (management, planning, work processes and human resources);
- internal participation (women's and men's representation);
- external integration (into core aspects of mandate delivery and thematic activities); and
- external participation (women and men as stakeholders and key partners).

The baseline study aims to cover the integration of both human rights and gender, recognising that human rights and gender are different areas of expertise that have very different implications for CSDP.

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<sup>4</sup> See, Ahlin, Martin and Olsson, Louise. *Field Assessment: Implementing EU Gender Policy in EUMM Georgia*. Sweden: Folke Bernadotte Academy (2014), Sundin, Marielle and Olsson, Louise. *Field Assessment: Implementing EU Gender Policy in EUPOL COPPS*. Sweden: Folke Bernadotte Academy (2014) and Olsson, Louise, Ahlin, Martin, Sundin, Marielle and Lindstrom, Anna. *Gender, Peace and Security in the European Union's Field Missions*. Sweden: Folke Bernadotte Academy (2014).

The human rights most relevant for CSDP are the rights and freedoms relating to state institutions and security forces. These include:

- the right to life;
- freedom from torture;
- due process and access to justice; and
- basic freedoms (opinion, expression, assembly, etc.).

The term human rights also covers equal rights between women and men and non-discrimination. However, but the EU commitment to gender equality and the integration of UNSCR 1325 on women, peace and security goes further as it focuses on how these principles have been implemented within the EU institutions.

### **The baselines**

The concept note for the baseline study in integrating human rights and gender into CSDP identified 21 baselines focusing on the internal and external integration of human rights and gender and on internal and external participation.

The 21 baselines chosen were developed based on existing policy commitments for integrating human rights, gender, UNSCR 1325, and the protection of children affected by armed conflict into CSDP missions. These policy commitments were adopted mainly in 2006 and 2008 (11936/4/06, 12068/06, 9822/08).<sup>5</sup> Baseline one focuses on both human rights and gender, nine baselines focus on human rights and 11 focus on gender and women, peace and security.

Baseline one focuses on detailed planning and impact case studies conducted in seven CSDP missions. The missions were chosen so that most current types of CSDP mission are represented and to strike a balance between newly-established and older missions. The seven missions chosen were EUPOL Afghanistan, EULEX Kosovo, EUAM Ukraine, EUMM Georgia, EUNAVFOR Med / Operation Sophia, EUCAP Sahel Mali and EUTM Mali.

The planning case studies drew on the Crisis Management Procedures (2013)<sup>6</sup> and used a planning, reporting and review cycle approach. This approach involved reviewing one cycle of CSDP planning, reporting and review documents.<sup>7</sup> The planning case studies aimed to identify how human

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<sup>5</sup> Additional sources include the 2010 report on Lessons and best practices of mainstreaming human rights and gender into CSDP military operations and civilian missions (17138/1/10) and reports from the annual meeting of CSDP human rights and gender advisers (7<sup>th</sup> meeting held 30-31 June 2015).

<sup>6</sup> Suggestions for crisis management procedures for CSDP crisis management operations (doc 7660/2/13, LIMITE, of 18 June 2013)

<sup>7</sup> The documents reviewed differed slightly from mission to mission. For example, for some of the older missions the review cycle started and ended with a strategic review, as there was no political framework for conflict approach and the crisis management concepts were older.



rights and gender are integrated in the different documents and whether human rights and gender are systematically addressed throughout the planning cycle. The methodology and findings from the planning case studies is further explained in Annex 1.

The impact case studies used an adapted form of the ‘most significant change’ methodology developed for impact assessments where detailed indicators are not available and extensive stakeholder evaluations are not possible. The ‘most significant change’ methodology was piloted in EUPOL Afghanistan and was then carried out by the human rights and gender advisers in the other six missions. The advisers set up small working groups that identified the most important stories of lessons, change or impact that they wanted to tell. The methodology and findings from the impact case studies are further examined in Annex 2.

The remaining 20 baselines were identified so that they were clear, quantifiable and applicable across CSDP structures and missions. Responses for these baselines were collected through five separate questionnaires sent to relevant staff in CMPD, CPCC, EUMS and ESDC, and all 16 CSDP missions.<sup>8</sup> The overall response rate was 73 % (353 respondents responded to the five questionnaires). The response rate means that the findings of the study can be considered credible. The final report has also been commented on and reviewed by CSDP human rights and gender advisers and focal points and by all relevant CSDP and EEAS services in Brussels.

The baselines for the study are established as at December 2015. That is, the study has identified to what extent human rights and gender issues were integrated into CSDP in December 2015. As a consequence, the baselines that need to identify developments over time focused on the previous 12 months, i.e. 1 January to 31 December 2015. The baseline study can then usefully be updated in two or three years, so that change and progress can be measured.

### ***1.4 Challenges and limitations***

This was the first time that a baseline study on integrating human rights and gender has been conducted for CSDP. The baseline for the study was 2015, so the study measures the extent to which human rights and gender had been integrated into CSDP by the end of 2015. The baseline study is useful, as it will allow the EU to measure progress over time should a decision be taken to update the baseline study at regular intervals. Baseline studies are not useful for showing gradual progress prior to the first baseline study, and this report does not show the gradual progress made over the past decade.

The baseline study attempted to separate human rights from gender, in order to show that while equality and non-discrimination are fundamental norms of human rights, gender equality and human rights are also separate thematic areas with often different implications for CSDP. However, human rights and gender have been addressed in parallel within CSDP for the past decade, so

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<sup>8</sup> The five questionnaires were: questionnaire 1 focusing on human rights and gender activities; questionnaire 2 focusing on human resources; questionnaire 3 focusing on opinions of senior management; questionnaire 4 focusing on opinions of human rights and gender advisers and focal points; and questionnaire 5 focusing on opinions of other substance staff.

although this study established separate baselines for human rights and gender, it was not always simple to separate human rights from gender in the information submitted.

This study focuses on human rights and gender in CSDP *in general*, but it is important to keep in mind throughout that every conflict situation is different, and that the focus of both human rights and gender analysis and integration activities need to be adapted to the specific situation and the proposed mandate of a specific mission or operation.

This baseline will be useful going forward, as changes over time can be measured against how human rights and gender were integrated into CSDP in 2015. However, as a consequence, this study does not do justice to the developments in CSDP from 2003 onwards. When reading this report it is then important to keep in mind that considerable progress has been made over time: policies and guidelines have been adopted, human rights and gender resources and expertise have increased and human rights and gender have become better integrated into CSDP planning and implementation.

## ***1.5 Structure of the report***

The report is structured as follows:

- Chapter 1 provides an introduction to the baseline study, its methodology and limitations.
- Chapter 2 provides an overview of the findings and the impact case studies conducted for seven missions and operations.
- Chapter 3 provides an overview of the findings of the baselines relating to internal integration of human rights and gender.
- Chapter 4 provides an overview of the findings for the baselines relating to internal participation.
- Chapter 5 provides an overview of the findings of the baselines relating to external integration of human rights and gender.
- Chapter 6 provides an overview of the findings of the baselines relating to external participation.
- Chapter 7 concludes the report and sets out a number of recommendations.

Additional information is included in annexes, including lists of abbreviations, mission- and operation-specific findings from the planning and impact case studies, the five questionnaires that were used for the study, an overview of training, an overview of the response rate and the original concept note.

## **II. PLANNING AND IMPACT CASE STUDIES**

### ***II.1 Introduction to the planning and impact case studies (baseline 1)***

Planning and impact case studies were conducted to measure the extent to which human rights and gender equality have been integrated into CSDP planning, implementation and review. The case

studies focused on seven CSDP missions covering relevant regions and different thematic areas of current CSDP missions. The seven missions were:

- EUPOL Afghanistan (est. 2006, transitioning 2016), advisory and training mission in the field of civilian policing (with some rule of law elements);
- EUAM Ukraine (est. 2014), advisory mission in the field of civilian policing;
- EUMM Georgia (est. 2008), monitoring mission;
- EULEX Kosovo (est. 2008), executive rule of law mission;
- EUNAVFOR MED / Operation Sophia (est. 2015) maritime military operation;
- EUTM Mali (est. 2013), military training mission;
- EUCAP Sahel Mali (est. 2014), capacity-building mission for internal security forces.

For these missions, reviews of the most recent cycle of planning, reporting and review documents were undertaken. The planning case studies aimed to identify to what extent and how human rights and gender had been integrated into the documents and whether there was there was a logical sequence in the references, i.e. were the references in the strategic planning documents followed up in the operational planning documents, was this included in the six-monthly reports and assessed in the strategic reviews.

The same seven missions also undertook impact case studies using an adapted form of the most significant change methodology, which is a methodology developed to assess change for projects and programmes that do not have well-developed indicators.

Baseline 1 is the only baseline of the study that did not cover all CSDP institutions, missions and operations.

## ***II.2 Planning case studies***

The importance of integrating human rights and gender into CSDP planning was underlined in the guidelines for *Mainstreaming human rights and gender into European security and defence policy* (doc. 11936/4/06) that were endorsed by the Political and Security Committee, and has been emphasised in all relevant follow-up documents. The *crisis management procedures* includes a general reference that ‘[a]ll EU CSDP missions/operations will include human rights, child protection, gender equality, and international humanitarian law where relevant’.<sup>9</sup> The templates for the crisis management procedures also include headings for human rights and gender, although not in a systematic manner (some in context sections, some in objectives sections and some in annexes).

In order to create a baseline for the integration of human rights and gender into CSDP planning, the baseline study assessed one cycle of planning, reporting and review documents for the seven above-mentioned CSDP missions/operations. The study looked, where available, at:

- crisis management concepts;

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<sup>9</sup> Crisis management procedures p. 7. The crisis management procedures draw on the EU comprehensive approach to crisis management that also emphasises the integration of human rights and gender.

- concepts of operations;
- operational plans;
- mission implementation plans;
- six-monthly reports;
- strategic reviews; and
- special reports, i.e. occasional reports developed by missions that provide an in-depth description and analysis of a specific field.

The study did not review Council Working Group advice or weekly and monthly reports, primarily due to resource and time constraints, nor did it map objectives or tasks in operational planning documents. However, the review of one cycle of planning documents does establish a qualitative baseline and findings that can inform clear recommendations. An overview of the documents reviewed and findings relevant to strategic and operational planning documents, six-monthly reports from missions, specialised reports on gender and human rights, where available, and strategic reviews is included in Annex 1.

## Qualitative baseline

Based on the findings of the planning case studies of the seven missions and operations, the following qualitative baseline can be established to determine the extent to which human rights and gender are integrated into the planning, reporting and review documents:

- Since the adoption of the 2013 crisis management procedures that includes specific headings for human rights and gender, all **strategic planning** documents include references to human rights in context sections and a ‘standard’ paragraph on the commitment to integrating human rights and gender and upholding international law. The human rights analysis in the context sections tends to focus on the general human rights situation in the country/crisis context, but it is not specifically relevant to the proposed CSDP options.
- All **operational planning** documents emphasise the importance of integrating human rights and gender across all operational lines, and many include tasks or activities focused on human rights and gender in specific operational lines. The operational planning documents do not include any guidance on what integrating human rights and gender would mean for the different operational lines, nor do they analyse how the mainstreaming tasks should be resourced.
- **Six-monthly reports** do not systematically analyse how missions/operations have integrated human rights and gender, and the references to human rights and gender activities tend to be brief and descriptive.
- **Special reports** are the only tools currently available to provide in-depth analysis of efforts by missions to integrate gender. EUMM Georgia is the only CSDP civilian mission that produces annual special reports on gender, but several civilian missions publish occasional special reports on gender. Special reports on human rights are uncommon and no military mission/operation has produced a special report on gender, human rights or related topics.
- **Strategic reviews** do not systematically analyse how missions/operations have integrated human rights and gender. Any reference made tends to be a general statement about the

importance of integrating human rights and gender, rather than an analysis of whether integrating human rights and gender has contributed to the mission reaching its strategic objectives, and if so, how.

## General trends

The planning case studies were not able to systematically review how human rights and gender expertise is used in preparing the planning, reporting and review documents. However, some general trends on the use of human rights and gender expertise can be discerned from the studies:

- The integration of human rights and gender into **strategic and operational planning** documents and strategic reviews is seen as the responsibility of specialised staff, except in cases where human rights concerns overlap in obvious ways with security and defence objectives (for example, the principle of non-refoulement for Operation Sophia).
- Human rights and gender expertise is not included in the **early planning** phases of strategic and operational planning documents or strategic reviews, but human rights and gender advisers tend to be asked to review documents when they are in their finalisation stages.
- Human rights and gender advisers and focal points report to mission reporting officers prior to the preparation of **six-monthly reports**, but their reporting is always heavily edited or omitted.
- **Special reports** are a good vehicle for gender advisers to fact-find and encourage discussions on gender issues in missions. They are also a useful way to provide visibility for missions' gender work among Member States.

## II.3 Impact case studies

### Introduction

Integration human rights and gender into CSDP planning, reporting and review documents is only the first step: the real test is what impact the focus on human rights and gender has on CSDP delivery. Impact case studies were therefore conducted by the same seven missions and operations that carried out planning case studies.

The impact case studies used an adapted form of the 'most significant change' methodology that was developed for impact assessments of projects and programmes without well-developed indicators, which is the case for CSDP. The methodology enables implementers themselves to collectively identify cases and develop detailed narratives that show impact. In seven missions, the human rights and gender advisers of focal points, together with colleagues, identified three case studies of human rights impact and three case studies of gender impact, which were then reviewed, edited and summarised.

The case studies submitted from the seven missions cover a diverse range of activities which reflect the missions' mandates and the contexts in which they operate. However, the case studies underline a number of common themes in the missions' activities to promote and mainstream human rights

and gender, namely activities to integrate human rights and gender into a mission's internal structure; and activities more related to mandate delivery. Some thematic activities, for example marking an international campaign such as the United Nations' annual '16 days of activism against gender-based violence' have components that raise both internal and external awareness.

### **Internal integration case studies**

The impact case studies each identified examples of internal integration. These underline several practices which can help integrate gender in particular into mission work processes. The key findings on internal integration focused on:

- the development of gender strategies;
- the development of mainstreaming structures, such as gender focal point systems; and
- internal awareness raising and training.

#### The development of gender strategies

The initiative most frequently highlighted as key to integrating gender into missions' internal processes was drafting gender strategies. Gender strategies that are based on the operation plan and which then feed into the mission implementation plan help establish a clear link between tasks and reporting. They also clarify where human rights and gender tasks are situated in the context of a mission's activities.

The case studies underline the importance of a participatory approach to developing gender strategies and the need to draw on experiences from across CSDP. A participatory approach is necessary to ensure mission buy-in, and learning the lessons from other missions saves time.

For example, when drafting its gender strategy the working group established in EUAM Ukraine '*analysed the need for enhanced measures for gender equality within each of the mission's departments. Simultaneously, the group sought information and guidance from other organisations (including other CSDP missions) that would serve as examples for internal strategy and guidelines on implementation of gender equality policy*' (EUAM Ukraine impact case study).

As also noted in the case of EUAM Ukraine, the timing of this strategic process is also key to uptake by mission members and, ultimately, to its effective implementation:

*Internal gender strategy should generally be drafted at the start of the mission so that the mission's structure, planning documents and standard operating procedures can be adapted accordingly. It is also easier to engage staff and management as soon as they start their duties rather than months after the start of the mission when priorities have already been clearly established and resources distributed, resulting in gender equality being side-lined by other, more urgent, priorities.*

#### Establishing and maintaining — Effective mainstreaming structures

Gender strategies will only be useful if they are implemented. An implementation mechanism highlighted in the examples of internal integration was the establishment of gender focal point structures to facilitate both implementation of the strategy itself and the mainstreaming of gender into operational activities. The examples of internal integration highlight gender focal point structures as beneficial in larger missions with large territorial coverage and field offices.

An excellent example of a well-functioning gender focal point structure is EUMM in Georgia. The mission has one full-time gender advisor, who liaises with gender focal points in each of the three field offices. These in turn work to mainstream gender in the field office's activities but also coordinate activities by the focal points in each of their respective teams. This set-up not only has the benefit of ensuring that gender mainstreaming is addressed throughout a wider geographic area, it is a pragmatic solution which aims to optimise gender mainstreaming using existing resources. This approach has had positive results:

*The gender focal point network has successfully provided input and advice, which has informed how special operations and planning are carried out. The network is also the mainstay — systematically mainstreaming gender into the mission's daily work such as patrolling and reporting. Without a functioning gender focal point network, this would be an impossible task for one full-time gender adviser (EUMM Georgia impact case study).*

If a gender focal point structure is to be sustainable and successful focal points need to be allocated time to do her or his gender responsibilities. There must also be a clear handover during rotation to prevent the network lapsing. Given that mission staff have different levels of knowledge of gender issues, focal points need to receive induction training and specific support on sensitive or particularly relevant topics:

*Considering that many people arrive in the mission with a low (or zero) level of knowledge of gender mainstreaming, it is crucial that this network is kept full and active so that advice is provided in all corners. (EUMM Georgia impact case study)*

External support to establish a gender focal point structure, such as the support extended by the Folke Bernadotte Academy to EULEX Kosovo, is one way to ensure that focal points have the opportunity to benefit from preparation and training and helps bridge the gap between theory and practical implementation.

The case of EULEX highlights this issue:

*There is often a high degree of awareness of the importance of gender mainstreaming, however this may be hampered by 'widespread insecurity among mission staff with regard to what it concretely means to integrate a gender perspective and how it should be done in their day-to-day duties'.*

### Internal awareness raising and training

With regard to the internal training of mission members on questions relating to human rights and gender, a distinction can be made between sociocultural awareness raising and training that has a direct impact on operational activities.

An example of training that has a direct impact on operational activities is sensitisation on sociocultural norms and traditions in host countries. This training can be highly beneficial to mission members, helping them to adapt their activities to the realities of the country and, crucially, flagging cultural differences and issues which could potentially cause misunderstandings with interlocutors. These issues obviously vary greatly from mission to mission. For instance, EUCAP Sahel Mali is currently undertaking a series of internal information sessions for mission members on traditional communicators, who are key figures in Malian society; female genital mutilation; and Islam, extremism and human rights.

Such internal awareness-raising measures should help provide a broader view of the society (and in particular the issues around human rights and gender) in which the missions operate and help staff look beyond their own experience (especially where security concerns preclude interaction with the local population). For these measures to be successful, there needs to be support for the idea that this understanding of the wider context is not only helpful, but necessary to fulfil mandate objectives.

Induction training for new mission members which makes a direct link between principles of human rights and gender and operational activities is essential in operations such as Operation Sophia. The training course for new naval units joining the Operation covers human rights law; international protection and protection at sea; smuggling & trafficking; and identification of potential victims of trafficking. This training, carried out by the UN Refugee Agency, is needed to ensure crews respect the principles of international human rights law in the context of Operation Sophia's rescue operations at sea.

### Internal integration recommendations

- Developing a gender strategy should be a key task for core teams so that gender issues can be integrated into the mission structure, planning documents and standard operating procedures.
- A gender focal point structure should be established from the planning phase, in line with commitments to mainstream gender in CSDP.
- External support could be used to help establish gender focal point structures.
- Each mission's hierarchy should support sociocultural awareness raising as a key tool to ensure operational effectiveness and as an essential element of mandate delivery.
- Internal induction training must be linked to the context and operational activities.



## External mainstreaming case studies

The case studies on external mainstreaming highlight the significant work being undertaken by advisers, focal points and other members of staff to ensure that human rights and gender are integrated in a wide range of each mission's activities, including:

- training;
- advice and mentoring;
- development of resource materials; and
- coordination.

### Training

Capacity-building and training missions are most commonly tasked with building the security forces' operational and tactical capabilities so that they are better at fulfilling their mandate and protecting the population. This task includes ensuring that human rights and gender elements are integrated both as standalone modules and as components of technical training modules. Such training inevitably also means engaging with social prejudices and preconceptions.

An interesting example of this is provided by EUCAP Sahel Mali. In addition to a standalone module on human rights and gender, the mission had introduced a 'gender element' in its investigatory training:

*The role-play was an investigation of a homicide in which the person who had found the body was a cleaning lady, a woman from a low socioeconomic group. When trainers evaluated the exercise, they asked training participants why they had not interviewed this key witness. The reply was that she was not important, and could not possibly be useful to the investigation. Thus, the trainees were excluding from their investigation an individual who could have had useful information as a result of their preconceptions about her gender and social status.*

In particularly challenging contexts, human rights and gender issues can often be more effectively addressed by integrating them into technical training of this kind. In the case of 'moral crimes' such as extramarital sexual relations, the approach of the EUPOL mission in Afghanistan demonstrated a pragmatic understanding of the barriers to explicit engagement on gender issues.

*It was decided that it's better to integrate a gender perspective (violence against women, etc.) in a wider training course on forensics than to have a training course solely focusing on violence against women or 'moral crimes', because there was a fear that this topic would not be considered important enough. [...] This example shows how proving the benefits of evidence-based criminal investigation in practice might work better than value-based training approach on women's rights.*

### Advice and mentoring

Advice and mentoring must address both the strategic and technical aspects of support for institutional reform and proposing new laws/amending existing legislation. As so many EU and

international actors are engaged on these issues, a coherent message is key, as evinced by the case of new legislation on the National Police by EUAM Ukraine. When EUAM engaged on the drafting of the Human Rights Action Plan at the invitation of the Ukrainian Government, the timeline was such that thematic experts engaged directly within the various sub-groups, with the human rights adviser acting as coordinator of the initiative.

### Resource materials

Capacity-building and advisory missions have a key role in supporting institutions and security forces by producing resource materials such as training toolkits, manuals and procedural guidelines. It is imperative that the development of such documents be led by the national partner(s), particularly when the subject in question is particularly sensitive. In Afghanistan, more than half of the population is under 18 and the level of knowledge among police officers regarding children's rights was identified as a particular challenge.

The development of the project may have been significantly slower than initially foreseen, but discussions with national partners are essential to ensure that the objectives identified are feasible, the content adapted and that the materials and training packages developed could be institutionalised into existing programmes. In this case, the training course on child rights and policing is also included in the official training curriculum for Afghan police force.

Resource materials evidently have the greatest impact when accompanied by other measures. To accompany the EUPOL Afghanistan initiative on children's rights, a resolution on child protection was signed and disseminated in the provinces in order to emphasise the role of the police in improving child protection. Training of trainers courses were also held to ensure Ministry of Interior instructors were equipped to effectively teach the subject matter. Coordination with other partners and thematic specialists and widespread distribution ensures that benefits of such materials are not only felt in capitals and major cities.

### **Coordination — CSDP and external bodies**

Coordination is a challenge across all areas of crisis management, and human rights and gender is no exception. All missions have, to some extent, developed relationships with specialist actors to ensure expert knowledge on issues. Coordination is not only an operational imperative, it can avoid 'mission creep' through engagement with EU actors and EU-funded agencies which are thematic experts, thus freeing up missions to work on their core business. Examples include EUNAVFOR Sophia training courses on international refugees run by the Office of the United Nations High Commissioner for Human Rights as well as EUTM Somalia and EUMM Georgia working with the ICRC to provide training on international humanitarian law and how to locate missing or detained persons.

Coordination with national civil society organisations and the wider public extends beyond a public relations exercise to proactive application of the principle of local ownership and empowerment of

the population as active agents of change. The ‘My family without violence’ project was proposed to EUMM by a local civil society organisation in western Georgia. The White Ribbon campaign on domestic violence, also led by EUMM Georgia, led to popular awareness and a realisation on the part of the police that they had an obligation to protect victims of gender-based violence. On the question of increasing civil society organisation oversight capacity, EUCAP Sahel Mali is working in partnership with national and international organisations already engaged on activities in the domain of democratic control in Mali. Sensitisation workshops and training in Bamako and in the regions will function as a barometer for the analysis of civil society needs regarding the oversight of forces, and in turn contribute to any recommendations for the process of security sector reform.

### **External integration key findings**

- Engage with the local population. This can bring unforeseen benefits beyond the original objectives.
- **Identify key stakeholder-led processes** before embarking on any initiative:
  - to ensure clear understanding of gender roles and sensitivities regarding human rights issues in host country;
  - to reinforce ownership of activity;
  - to enable the mission to adapt its operational activities accordingly.
- Take the time to **build trust with institutional and civil society partners** when engaging on human rights and gender issues which touch upon cultural and traditional norms. EUAM underlines the fact that ‘persistence combined with patience is required in order to achieve sustainable results and to initiate real relevant reform’.
- **Engage on joint initiatives with civil society actors.** This requires a flexible approach as many plan activities much later than a mission’s internal processes allow. Missions’ planning should therefore be flexible enough to slot activities around civil society initiatives.
- **Coordinate with other EU and international partners** to ensure a coherent message and optimum use of resources. Securing the engagement of other actors within EU family on thematic campaigns is, however, sometimes a challenge due to lack of resources or interest in combining forces.
- **Exchange information and resources** (e.g. training materials) given that many missions are engaged on initiatives in similar fields (gender-based violence, women’s rights), albeit in different contexts.
- **Reinforce linkages between gender and operations** to strengthen the contribution made by human rights and gender activities to delivery of a mission’s mandate and improve understanding of these issues.
- **Report on human rights and gender activities.** This is essential to demonstrate their intrinsic value and their place within a mandate.

### III. INTEGRATION OF HUMAN RIGHTS AND GENDER INTO CSDP STRUCTURES AND WORK PROCESSES (INTERNAL INTEGRATION)

#### *III.1 Introduction to internal integration*

<b>INTERNAL INTEGRATION</b>	Internal participation
External integration	External participation

Human rights and gender equality are core values for the EU, including within its common foreign and security policy. Internal integration means that human rights and gender perspectives are integrated into CSDP planning, implementation and review. The baselines for internal integration seek to assess how effectively this has been realised by mapping opinions as well as the allocation of expertise and resources to ensure that human rights and gender equality norms guide CSDP institutional build up and work processes.

#### *III.2 Human rights*

#### **Baseline 2: Leadership on human rights provided by senior management (headquarters and missions and operations)**

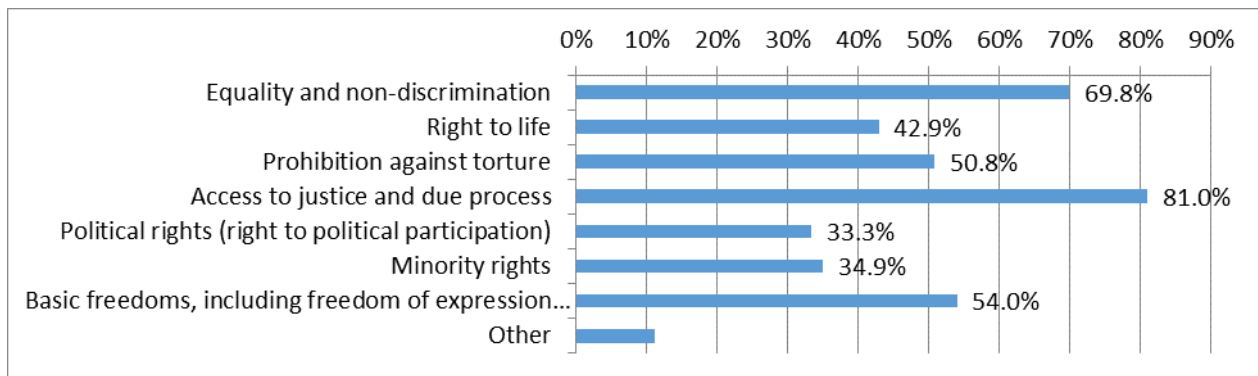
##### **Introduction**

CSDP management at the Brussels headquarters and in the individual missions bears the overall responsibility for ensuring the proper implementation of EU policies, including on human rights. The baseline study therefore created a baseline for management's engagement on human rights in order to measure this engagement, and assess management's use of human rights resources and how management engaged on human rights with key stakeholders/partners. The findings for baseline 2 are collated from answers to questionnaire 3 for CSDP management and questionnaire 4 for CSDP human rights and gender advisers and focal points.

##### **Baseline**

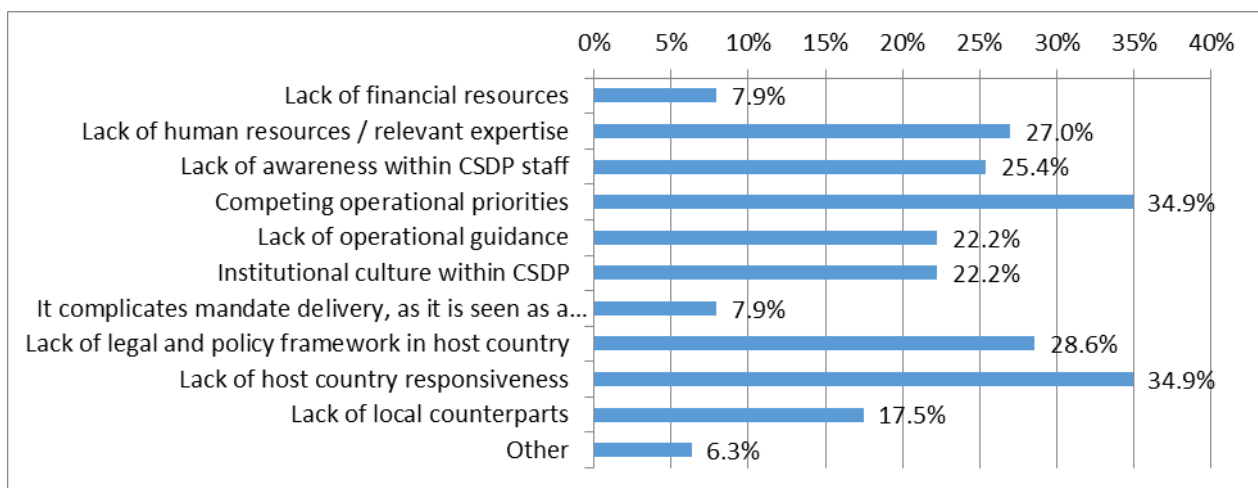
- 98 % of managers responded that they viewed promotion of human rights as part of their management responsibilities.
- 73 % said that the main reason for engaging on human rights was that human rights were fundamental norms of the EU,
- 21 % said that integrating human rights can help ensure credibility, legitimacy and accountability,
- 6 % said that if human rights were part of the mandate they should be delivered on.

The human rights most relevant to CSDP (respondents could choose several options) were identified as:



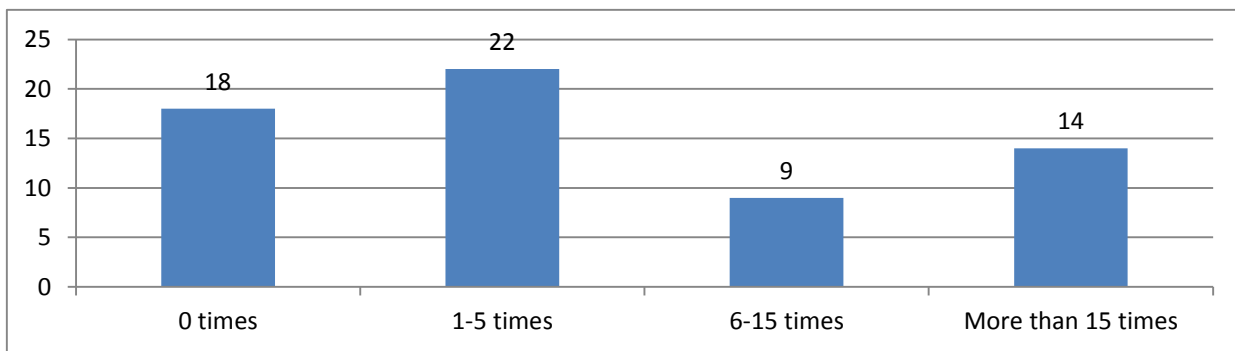
**Image: Most important human rights for CSDP missions and operations (questionnaire 3 for CSDP managers)**

The main challenges to engaging on human rights (respondents could choose several options) were identified as:



**Image: The main challenges for engaging on human rights in the context of CSDP (questionnaire 3 for CSDP managers)**

While most managers considered that promoting human rights was part of their mandate, they also seemed to place responsibility for working on human rights elsewhere: 18 managers had not engaged on human rights at all, 22 had engaged on human rights 1-5 times, 9 had engaged on human rights 6-15 times and 14 had engaged on human rights more than 15 times.



**Image: Management engagement on human rights**

Managers were also asked about their three main initiatives on human rights in 2015. Those who had engaged less than five times on human rights tended to provide very sketchy overviews of their human rights activities, while managers who had engaged on human rights more than six times and especially more than 15 times took the time to be more descriptive and analytical about their human rights engagements.

Based on the responses received, it is difficult to establish a typology of the main types of human rights engagement by CSDP managers. This is not surprising, as the managers who submitted questionnaires range from directors in Brussels and commanders and heads of missions in very varied missions and operations to heads of operational components in missions and operations. The human rights activities and interventions are thus equally varied — they range from raising human rights in multilateral forums or with national counterparts to reviewing operation plans and training material.

However, what is significant for most of the examples provided are that they are concrete, i.e. managers engage on human rights in relation to implementation of the prohibition of torture, development of due process standards, use of force during demonstrations, etc.

The following extracts for the questionnaires to the managers describe some positive examples of management engagement:

*I work in the field of strategic monitoring, mentoring and advising. Mainstreaming is not just a phrase I use, it is something I address at every opportunity. The Gender and Human Rights offices are invited to all of my governance meetings and are actively encouraged to participate and influence. The monitoring, mentoring and advice around the policing of protests has focused heavily on decision-making and in particular justification, authority in law and policy, proportionality, accountability/auditing and necessity of all police actions.*

*'I supported the inclusion of human rights standards when advising on police-related matters — providing advice to counterparts in the drafting of a police law. I supported the inclusion of human rights standards while advising on the process of commenting and drawing up the draft law on protection of families from violence'.*

*‘Meetings that I held with key interlocutors (ministers/deputy ministers, public officials, NGOs, think tanks) from host country to discuss human right aspects relevant for fulfilling our mandate \* Involvement in preparation of/participation in political processes aimed at safeguarding/promoting human rights of conflict-affected populations in our area of responsibility (freedom of movement, minority rights, rights of internally displaced persons, etc.) \* Meetings at management level with UN family, together with the mission’s human rights adviser, to ensure the smooth exchange of information on key developments in the area of human rights’*

## Analysis

Most managers only engaged to a very limited extent on human rights, suggesting that integrating human rights into the mission’s work was not a management responsibility, but rather that of human rights advisers and focal points. This has been a recurring point raised by CSDP human rights and gender advisers at their annual meetings: management engagement is key to integrating human rights into CSDP, but without substantive management engagement, advisers’ work on human rights integration and activities is often just for show or is an ‘add on’.

The baseline study does not indicate why managers view human rights as being somebody else’s responsibility. However, the respondents did view lack of awareness and expertise, institutional culture within CSDP and the lack of responsiveness and relevant legal frameworks at the national level as the most important challenges to integrating human rights. 35 % of managers also listed competing operational priorities as a major challenge. This does suggest that managers find it difficult to focus on human rights. That is, human rights are neither a high-priority subject within the CSDP structure nor an issue that host states may be immediately responsive to, and therefore it is easier to ignore human rights — or to leave them to the human rights adviser to promote.

The fact that the managers who engaged most often on human rights issues were those who provided most detailed feedback on their engagements suggests a strong correlation between interest, knowledge and making human rights a priority in a mission’s day-to-day activities.

## **Baseline 3: Number and placement of full-time human rights advisers (expert positions) and focal points or points of contact (non-expert positions) within the CSDP structures (headquarters and missions)**

### Introduction

The CSDP human rights advisers and focal points at headquarters and in missions advise on and facilitate integration of human rights into CSDP. In order to create a baseline to measure the extent to which human rights advisers, focal points or points of contact are present in the CSDP structures and the effectiveness with which they can carry out their mandates, the baseline study measured:

- the number of human rights advisers, focal points or points of contact in the CSDP structures (headquarters and missions);
- the percentage of their time dedicated to working on human rights (i.e. are the experts single-, double-, or triple-hatted);
- their location and access to senior management; and
- the key components of terms of references, including whether cooperation with human rights advisers, focal points or points of contact are mentioned in the terms of reference of other expert personnel.

The findings are based in information received through questionnaires 1, 2, 3 and 4.

### **Baseline**

There is no full-time expert on human rights at the CSDP institutions in Brussels. CMPD has a double-hatted human rights and gender adviser who works with focal points in CPCC and EUMS (neither focal point is visible in institutional organigram).

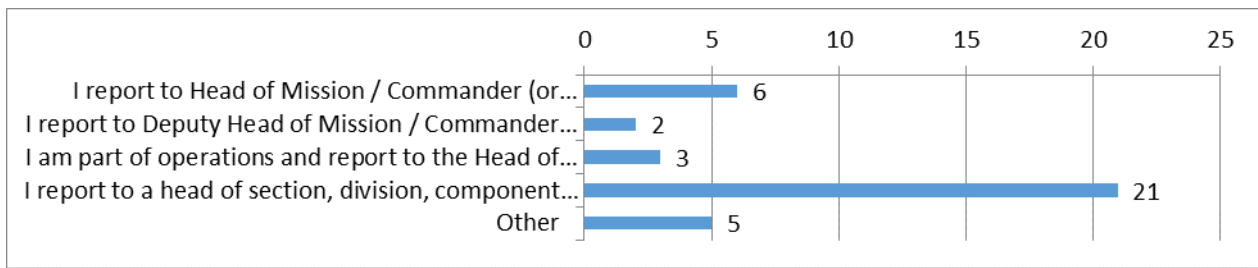
There are full-time human rights advisers or double-hatted human rights and gender advisers in all CSDP civilian missions, while CSDP military missions and operations have human rights and gender focal points. The exceptions are EUTM Mali and Operation Sophia. EUTM Mali has expert advisers/trainers covering international humanitarian law/human rights/gender and Operation Sophia has full-time focal points covering human rights and gender.

The term ‘adviser’ is usually used for CSDP personnel with prior experience on a specific issue. The term ‘focal point’ is used for CSDP personnel who cover a specific subject in addition to their main duties. Some, but not all, focal points have prior expertise and experience of human rights. It is not immediately clear that previous experience is a criterion when designating focal points.

The difference between length of deployment in civilian missions and military missions and operations is also significant. Advisers in civilian missions often stay several years in their missions and also come to the missions with prior experience of working on human rights in mission contexts. The military focal points, although committed to doing a good job, sometimes spend as little as three months in the mission with perhaps only 20 % of their time dedicated to their focal point functions.

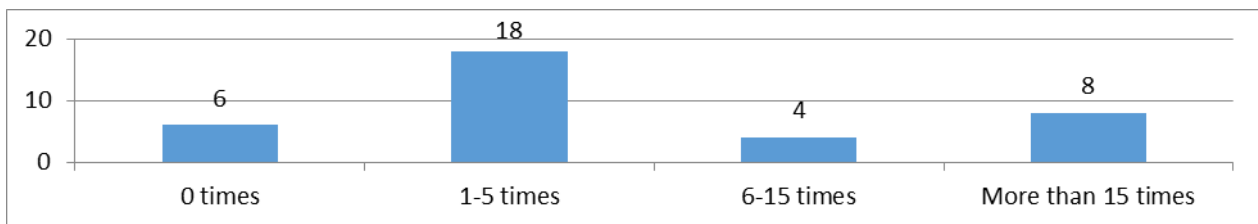
An important question for enabling internal integration is where in the institution advisers and focal points are placed. The advisers and focal points mostly report to the 21 heads of section or division.





**Image: Who human rights advisers and focal points report to**

The majority of advisers and focal points briefed their senior management no more than five times in 2015. This fact is in line with the findings of baseline 1 that managers viewed human rights as important for CSDP, but did not themselves engage on human rights issues.

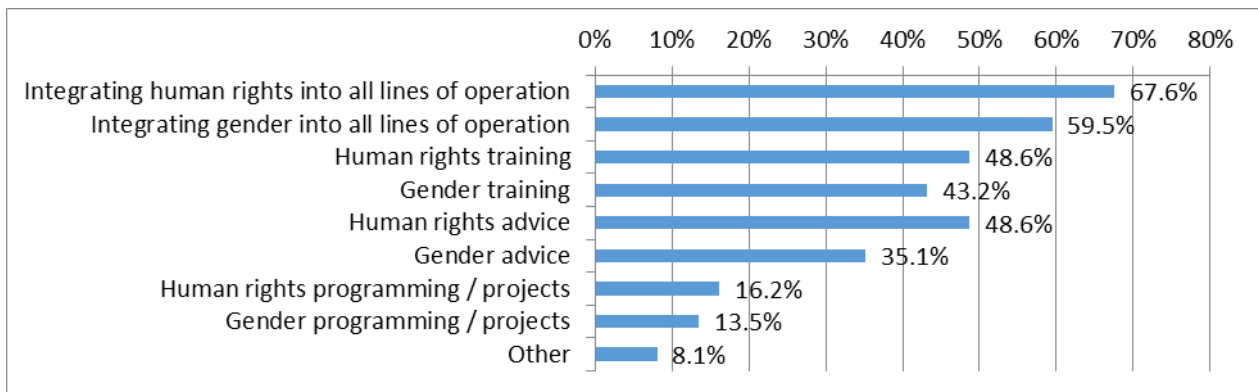


**Image: Number of times human rights advisers and focal points briefed senior management in 2015**

When asked whether they were optimally placed, all advisers in the military missions and operations said 'yes'. However, only 72% of advisers in civilian missions and 28% of advisers and focal points in the Brussels headquarters felt that they were optimally placed

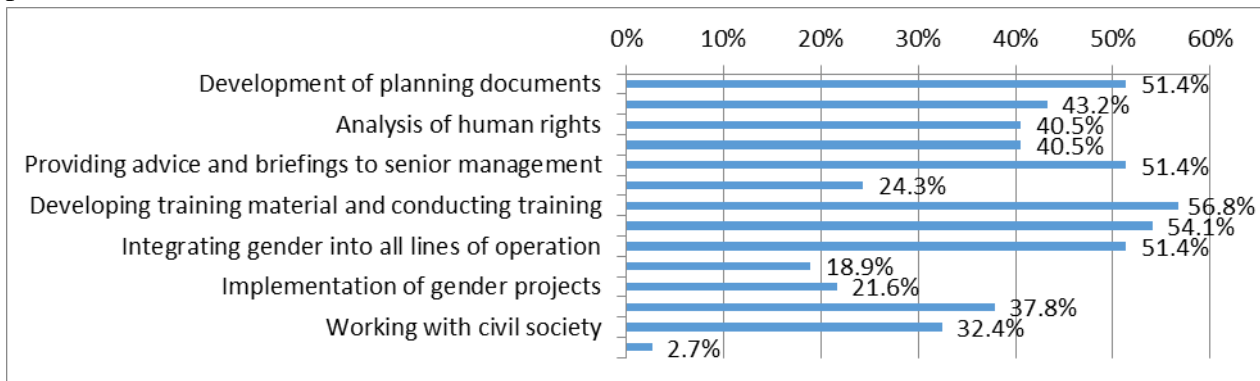
At the same time, there is not one optimal location for human rights advisers in the CSDP organigrams at headquarters or in missions and operations, because the location also depends on the core tasks of the advisers.

Human rights and gender advisers identified which of the main lines of human rights and gender work was focused on in their missions and operations (several priorities could be chosen):



### Image: Main work strands for human rights and gender within missions and operations

The advisers and focal points are involved in a broad range of work strands, including (several priorities could be chosen):



### Image: Human rights and gender advisers and focal points' work strands

#### Analysis

Full-time human rights advisers are only deployed to a few civilian missions, all other CSDP institutions have double-hatted advisers or focal points. With the exception of EUTM Mali and EUNAVFOR Med / Operation Sophia, military missions and operations currently only have focal points for human rights who carry out their focal point functions in addition to their other responsibilities. There is thus very limited specialised expertise on human rights within CSDP, although of course other staff may be well versed in many aspects of human rights, not least because human rights are an integral concern for many European security and justice sector institutions. While 72 % of advisers and focal points consider themselves to be optimally placed, 28 % still consider that they are not optimally placed. When the advisers themselves were asked about their placement at the annual meeting in May 2016, many expressed perplexity about where they were placed within their mission, and some suggested that habit rather than a logical assessment of their duties in relation to the mission mandate seemed to be behind their placement.

The impact case study clearly shows that missions and operations that have full-time advisers who are well placed carry out the most developed and well-integrated human rights activities. It would then be useful to try to ensure that missions and operations employ at least double-hatted advisers and that their placement is dictated by the tasks for which they are responsible.

### Baseline 4: Extent of human rights training available for CSDP personnel

#### Introduction

Training is an important tool for the institutionalisation of policies and for knowledge transfer. Pre-deployment training is a national prerogative and can be conducted nationally or through pooling and sharing mechanisms by Member States, as in the case of the pre-deployment training provided

by the ESDC and its partner organisations. Due to time and resource constraints, the baseline study was not able to assess how human rights and/or gender were reflected in pre-deployment training provided by Member States or in-mission training. Instead it focused on the extent to which key training providers integrate human rights and gender perspectives into their training and whether respondents had received training. The baseline study also sought to provide examples of existing opportunities for specialised training.

### **Baseline**

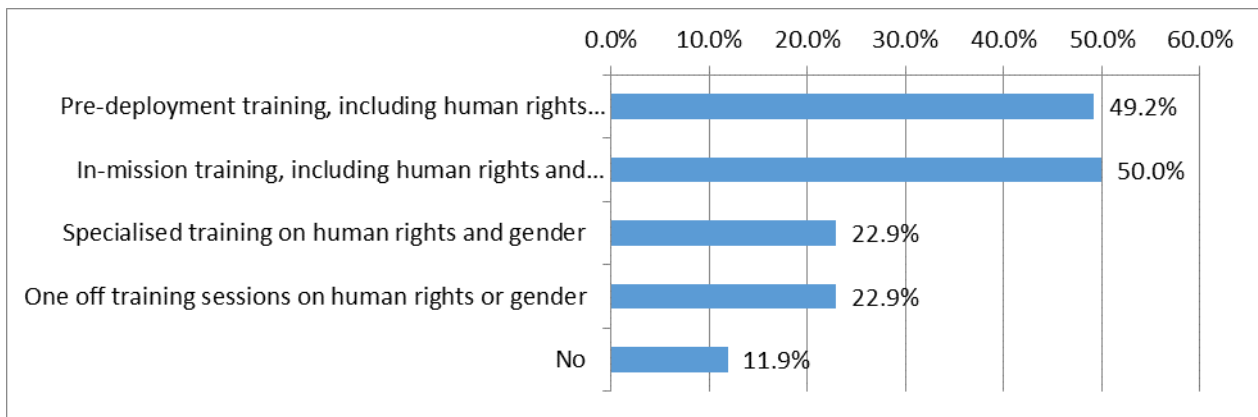
CSDP services at the Brussels headquarters (CPMD, CPCC and EUMS) do not provide systematic induction training on human rights and gender for their new arrivals. However, the majority of CSDP missions do include human rights and gender elements in their induction training or packages (only three missions said that they did not have human rights and gender components in their induction training). Human rights and gender are also included in most courses organised by ESDC, Europe's New Training Initiative for Civilian Crisis Management (ENTRi) and European police services training. The ESDC also hosts two online training modules on gender that are used as preparatory material for the majority of ESDC courses and also in the EUMS annual induction training.

In 2011, the Political and Security Committee commissioned three pre-deployment modules on human rights; gender and UNSCR 1325 on women, peace and security; and children and armed conflict. The human rights module was finalised in 2013 and the gender/women, peace and security module in 2016, while the pre-deployment module on children and armed conflict remains a draft.

There are also a number of specialised training courses — lasting four or five days — organised on gender, human rights, international humanitarian law and the protection of civilians. Under the auspices of the ESDC, two specialised courses focus on gender and peace operations respectively (three per year), gender and CSDP (two per year). Other ESDC courses look at the law of armed conflict (three per year) and the protection of civilians (one per year). ENTRi also offers specialised courses on human rights and on gender.

This notwithstanding, only 22 % of advisers and focal points who responded to the baseline study questionnaire said that they had received pre-deployment training with human rights and gender elements and only 30 % of them said that human rights and gender elements had been included in their induction packages.

A question about human rights and gender training was also included in questionnaire 5 for other personnel directly engaged on mandate delivery (desk officers, planners, advisers, training officers, etc.). It showed that only about 50 % of the respondents had received either pre-deployment or in-mission training on human rights and gender. The frequency of the training courses and the high turnaround of staff makes it difficult to ensure systematic and comprehensive training.



**Image: Human rights and gender training for staff directly involved in developing or implementing mission mandates**

### Analysis

The fact that human rights and gender should be integrated into CSDP is well communicated to and by the key CSDP training providers. For example, the pre-deployment training provided by ESDC always includes a session on human rights and gender and all the training providers contacted emphasised that they were under the obligation to include human rights and gender modules or that they generally did so. However, not all Member States require their seconded personnel to go through pre-deployment training, and non-seconded staff, i.e. internationally and locally-recruited staff, are largely dependent on the training provided in-mission.

The turnover of staff, particularly in military missions and operations, poses further challenges to ensuring that all staff receives similar induction packages. The lack of systematic training for all staff, in particular senior- and middle-management, was also underlined as a challenge by CSDP human rights and gender advisers when reviewing this report at the annual meeting. CSDP does not yet ensure a common base and understanding of core concepts such as human rights and gender for all staff entering the CSDP structures in Brussels or missions.

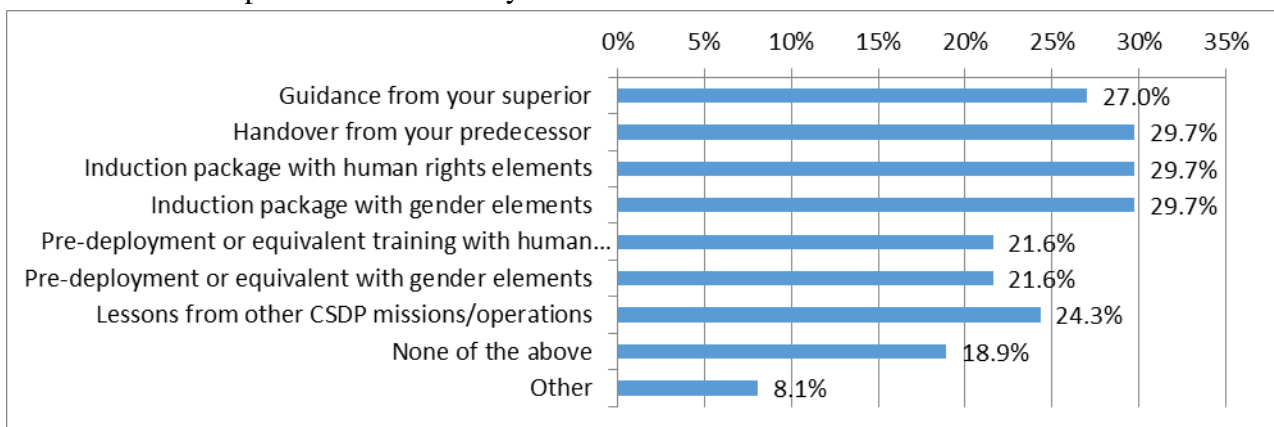
## Baseline 5: Extent of and measures for ensuring institutional knowledge on human rights

### Introduction

Integrating human rights is not a one-off task, it is an ongoing process that evolves and is fine-tuned as institutional knowledge and expertise develops. In order to establish a baseline for institutional knowledge on human rights, the baseline study sought to measure handover received by human rights advisers and focal points and other learning tools at the disposal of advisers and focal points. This is, of course, a very limited measure as it focuses solely on those who are specifically mandated to work on human rights. However, as this is a first baseline study, this focus on handover was chosen in order to have a starting point on which to base further studies.

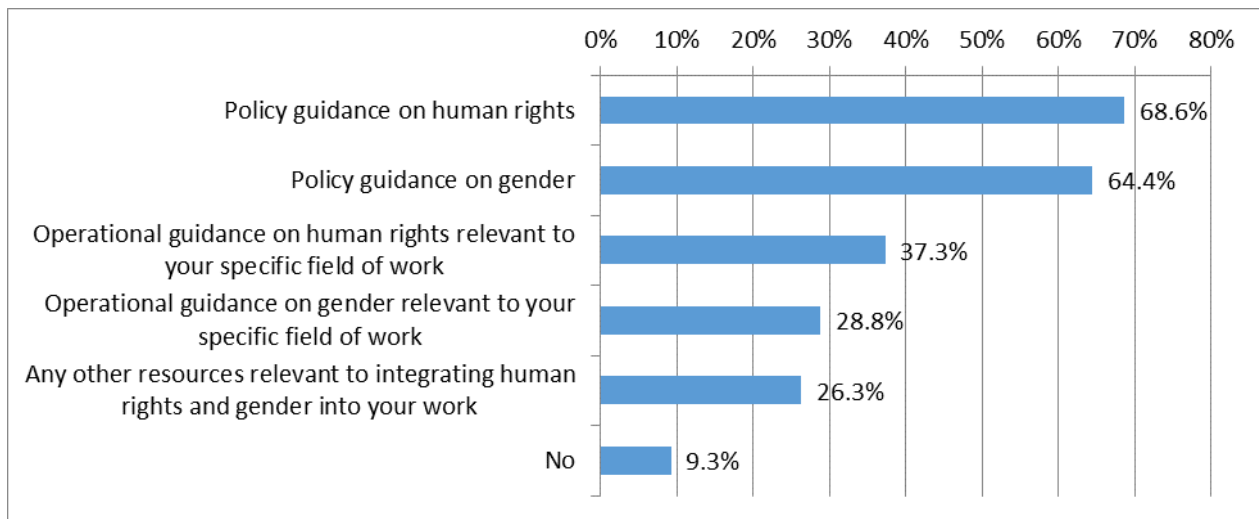
### Baseline

Human rights and gender advisers and focal points seem generally to be able to rely on limited thematic guidance for their work. Only about one third of advisers and focal points seemed to be able to rely on guidance from superiors, handover notes or other thematic induction. 19 % of advisers and focal points noted that they had received none of the usual handovers or induction.



**Image: Guidance received by human rights and gender advisers and focal points when taking up their positions**

The majority of advisers and focal points had been able to access policy guidance on human rights in the course of their work. Only 9 % of the advisers and focal points said that they had no access to policy or operational guidance for their work.



**Image: Access to policy and operational guidance and other relevant resources**

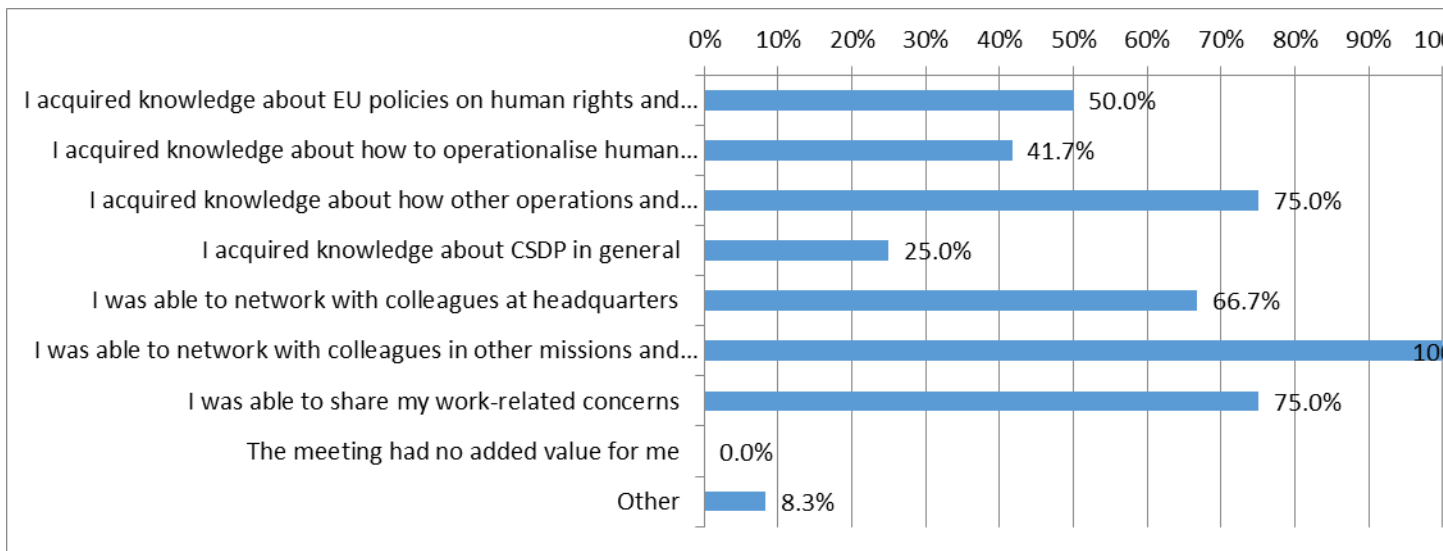
CSDP structures in Brussels have been trying to promote learning and institutional knowledge on human rights by organising annual meetings of human rights and gender advisers and focal points and, since January 2015, by enabling the advisers to share lessons and communicate via a human rights email list.

The 7<sup>th</sup> annual meeting of human rights and gender advisers was held 30 June to 1 July 2015, but only 64% of advisers/focal points said that they had attended. This is partly because some CSDP civilian missions have several advisers and do not always choose to send all advisers to the annual meeting. However, the main reason is high turnaround, especially in military missions and operations where focal points sometimes stay as little as three months.

Those who had participated were asked to list the main added value of the annual meetings. The three most favoured added value options were:

- networking with colleagues from other missions;
- learning about how other operations and missions integrate human rights and gender; and
- sharing work-related concerns.

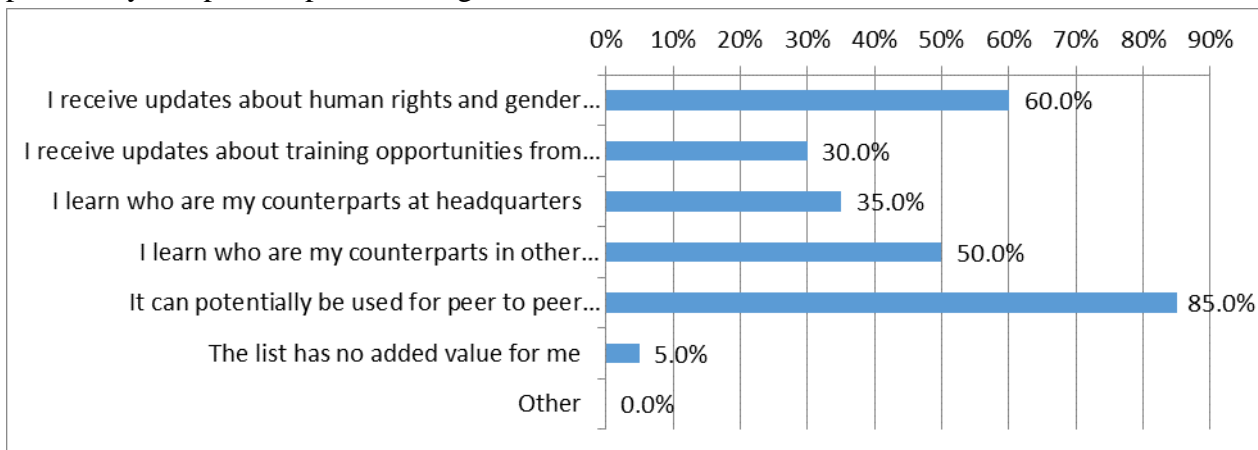
The last point is particularly salient: the reports of the annual meetings consistently communicate the advisers'/focal points' concerns about how they are placed in missions and the lack of support and guidance. The reports of course also include recommendations, many of which have been implemented (for example, reviewing of how and where advisers are placed, and the human rights email list). However, the advisers/focal points have not yet perceived a real sense of change in the missions' day-to-day work.



**Image: Added value of the annual meetings**

The CSDP human rights and gender email list provides an example of the challenges of institutionalising change. The email list was established in January 2015 to share information from headquarters with missions, but also — for the most active advisers/focal points — to share queries and resources about, for instance, training opportunities developed by missions. However, because of the high turnover and limited handover, only 56 % of the advisers and focal points have access to the email list.

The advisers and focal points who do have access to the email list recognised that it was a useful tool for getting updates from headquarters, learning who their colleagues in other missions are and, potentially, for peer-to-peer learning.



**Image: Added value of the CSDP human rights and gender email list**

## Analysis

CSDP structures focus increasingly on institutionalisation and sustainability, and greater emphasis will need to be placed in future on providing operational guidance, ensuring handover and

encouraging peer-to-peer learning. This is, however, one area in which greater effort is needed — and in which allocating even limited additional resources could bring considerable gains.

The annual meetings should continue, the CSDP human rights and the gender email list should be used more systematically to share information. The human rights and gender archive — currently only accessible to headquarters (CPCC and the CMPD human rights and gender adviser) and civilian missions — the CPCC Wiki, should be further developed and maintained.

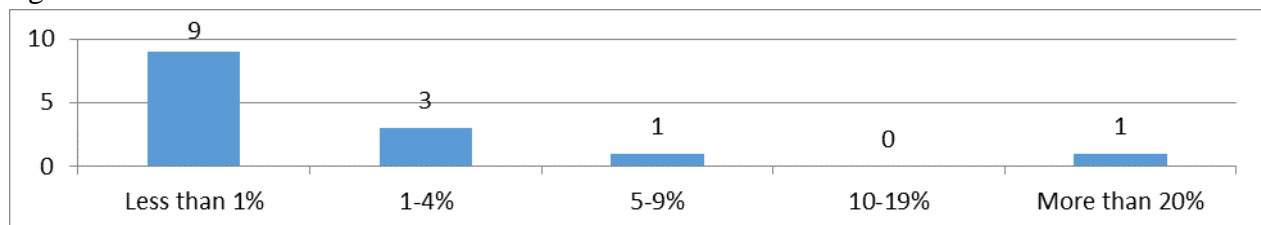
## **Baseline 6: The amount of resources allocated to integrating human rights**

### **Introduction**

Measuring the allocation of resources is an interesting indicator of the importance attached to the implementation of human rights policies. Baseline 6 measures the perception of how much of the mission or operation's funding is used for human rights. The human rights advisers who responded to this baseline were not asked to undertake an in-depth analysis of mission budgets or, for example, assess how much of programming focused on advising on or supporting initiatives aimed at strengthening due process or accountability could be considered human rights-related.

### **Baseline**

The majority of missions and operations that filled in the questionnaire on human rights activities estimated that less than 1 % of the mission/operation's budget was allocated to human rights. Some missions and operations estimated that 1-4 % of the budget was allocated to integrating human rights activities.



**Image: Perceived allocation of financial resources to the integration of human rights**

### **Analysis**

The response on allocation of financial resources is related more to perception than fact. Much of, in particular, the work of CSDP civilian missions' work on advice and capacity-building in the area of civilian security sector reform, policing or rule of law is framed by human rights norms. However, when assessing the funding allocation, most of the missions and operations probably only considered what funding was available for specific human rights activities (conferences, training, advocacy material, etc.).



### ***III.3 Gender and UNSCR 1325 on women, peace and security***

#### **Baseline 7: Leadership on gender / women, peace and security provided by senior management**

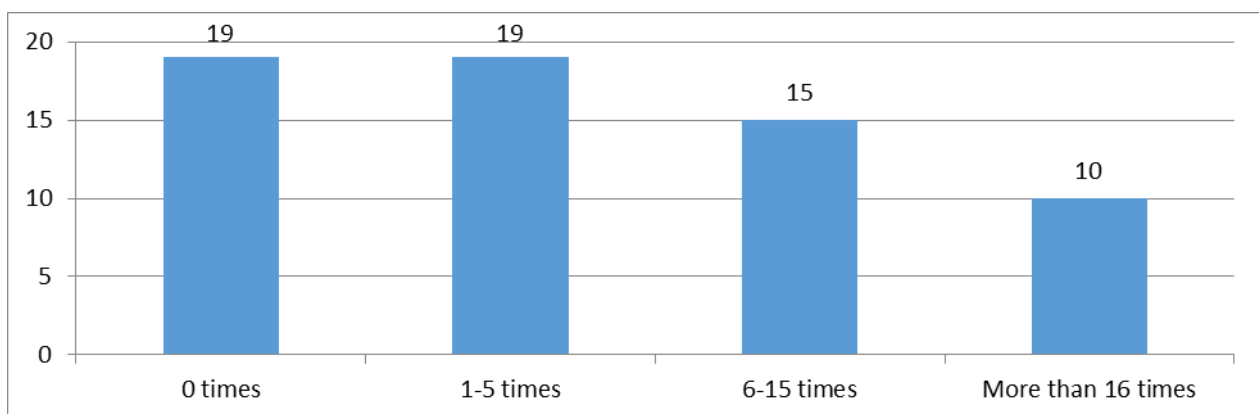
##### **Introduction**

CSDP management at headquarters and in missions bears the overall responsibility for ensuring that EU policies, including on gender equality and in women, peace and security (i.e. UNSCR 1325 and related resolutions), are properly implemented. This baseline seeks to measure CSDP management's commitment and activities to implement gender equality and UNSCR 1325.

##### **Baseline**

A total of 63 CSDP management staff (of which 11 women, or 17.4 %) participated in the baseline survey. 90 % of them considered that promoting gender equality is an essential part of their senior management responsibilities.

While there is widespread recognition among senior management that promoting the principles and policies of gender equality and women, peace and security forms part of their leadership responsibilities, 60% of senior managers have barely engaged on these issues. In response to the question: 'Approximately how many times were you engaged on issues with gender and / or women, peace and security perspectives in 2015?', 30 % indicated that they had not done so at all, with several reasoning that they just took up their positions recently. A further 30 % answered that they had engaged on these issues about 1-5 times. 24 % reported 6-15 times while only 15 % of the respondents reported engaging more than 16 times.



**Image: Number of times management engaged on gender / women, peace and security in 2015**

It is also important to note that when broken down by headquarters, civilian missions and military missions and operations, the most significant engagement for gender is found in civilian missions, while headquarters and military missions and operations have engaged far less on these issues.

The main issues on gender and women, peace and security engagement included:

- sexual and gender-based violence, including in conflict situations;
- the effects of conflict on women;
- female detainees and combatants;
- promoting gender balance in senior positions;
- promoting gender balance in recruitment and training opportunities in the security, defence and justice sectors;
- sexual harassment in the workplace;
- draft law on domestic violence;
- protecting victims and ensuring access to justice;
- integrating/mainstreaming gender issues in planning, monitoring and in the mission's activities.

'Equality is a core value of the EU and a fundamental principle of international law' is the reason most commonly cited by senior management for integrating gender and/or women, peace and security issues into the mission's work (42 or 67 %). Senior managers also replied that integrating these issues 'ensures attentiveness to both women's and men's security needs and participation' (17 or 27 %) while the remaining respondents (4 replies, or 6 %) indicated that it is part of the mandate and should be delivered on. Other reasons cited are: it ensures more effective operational delivery (but should remain context-sensitive); promotion of gender issues within a context makes sense when seen as a valuable element of transformation; and that women's participation is essential in ensuring sustainable change towards lasting peace and security.

Lack of human / expert resources (34.9 %) and lack of awareness within missions/ operations (33.3 %) were the top-most challenges identified in promoting integration of gender and women peace and security. This was followed by lack of host-country responsiveness and representation (28.6 %), institutional culture of CSDP (25.4 %), and competing operational priorities (22.2 %).

### Analysis

As in the case of management engagement for human rights (baseline 2), there is widespread recognition that gender equality is a core value of the EU and therefore also of CSDP. However, while those in CSDP leadership may recognise that promoting gender equality is part of what should be done under their watch, leadership does not seem to consider that they themselves should play an active role in supporting the work for integrating gender and women, peace and security. It can then be surmised that the responsibility is placed mainly on the gender adviser or focal point.

When discussing the findings at the annual meeting, the advisers and focal points noted that they perceived that management was more open to human rights-related issues than to gender matters.

An adviser who had the combined function of legal adviser and gender focal point noted that there was a considerable difference between how some colleagues approached the two subjects: nobody would question why asking for legal advice was necessary, while providing advice on gender issues was more of side engagement.

There are, therefore, significant barriers to be removed before CSDP leadership views gender equality as strategically important for CSDP. While training is an obvious recommendation to raise awareness, all messaging and training needs to take the practical and results-oriented nature of CSDP into account.

### **Baseline 8: Number and placement of full-time gender advisers (expert positions) and focal points or points of contact (non-expert positions) within the CSDP structures (headquarters and missions)**

#### **Introduction**

As with human rights advisers, the CSDP gender advisers and focal points in the Brussels headquarters and in missions advise on and facilitate integration of gender and women, peace and security into CSDP. In order to create a baseline to measure the presence and effectiveness of gender advisers, focal points or points of contact in the CSDP structures, the study measured:

- the number of gender advisers, focal points or points of contact in the CSDP structures (headquarters and missions and operations);
- the percentage of time that the advisers, focal points or points of contact dedicate to gender (i.e. are the experts single-, double-, or triple-hatted);
- the location of advisers, focal points or points of contact (access to senior management); and
- the key components of terms of reference, including whether cooperation with gender advisers, focal points or points of contact are mentioned in terms of reference of other expert personnel.

The findings are based on information received through questionnaires 1, 2, 3 and 4.

#### **Baseline**

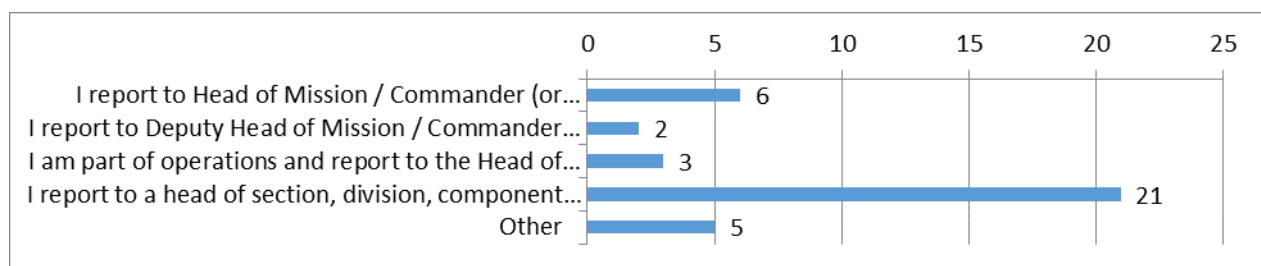
The only full-time expert working on gender in operations at headquarters is the seconded national expert responsible for the joint Dutch and Spanish course on gender in operations in the ESDC. The only other expert position in the CSDP structures in Brussels is the double-hatted gender and human rights adviser in CMPD. There are gender focal point functions that move between staff with an interest in these issues in CPCC and EUMS. However, these functions are not visible on the institutional staff charts. ESDC also a gender focal point.

All CSDP civilian missions have full-time human rights advisers or double-hatted advisers. In recent years, at least two missions (EUMM Georgia and EULEX Kosovo) have also adopted gender

focal point systems through which the full-time gender adviser works together with focal points in different sections of the mission and in field offices.

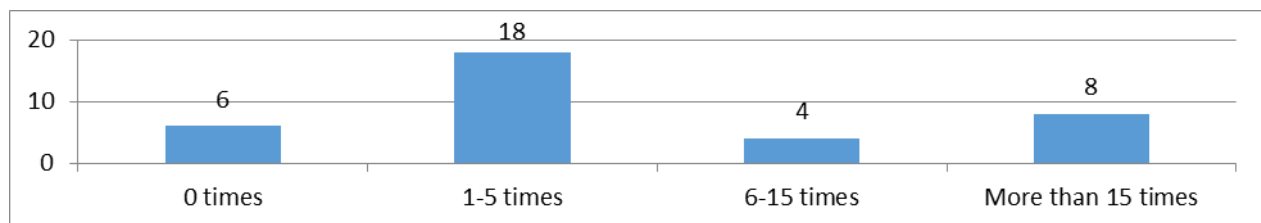
The majority of CSDP military missions and operations have only part-time gender focal points that fulfil their human rights and gender duties while also acting, for example, as legal adviser or training officer. The exception is Operation Sophia, which has full-time focal points on gender. EUTM Mali also has a gender focal point at headquarters in addition to a team of two trainers focused on international humanitarian law, human rights and gender at the military training camp. The difference between civilian missions and military missions and operations is important. Advisers in the civilian missions often stay several years in their missions, and also come to the missions with prior experience from working with gender in mission contexts. The military focal points, although committed to doing a good job, may have no prior experience of integrating gender, and staff spend sometimes as little as three months in the mission/operation and as little as 20 % of their time on their focal point functions.

An important question for enabling internal integration is where in the institution gender advisers and focal points are placed. The advisers and focal points mostly report to heads of section or division (21 people).



**Image: Who gender advisers and focal points report to**

The majority of advisers and focal points briefed their senior management no more than five times in 2015. This fact correspond well with the findings of baseline 7 that managers viewed gender as important for CSDP, but also not as work requiring their attention.



**Image: Number of times gender advisers and focal points briefed senior management in 2015**

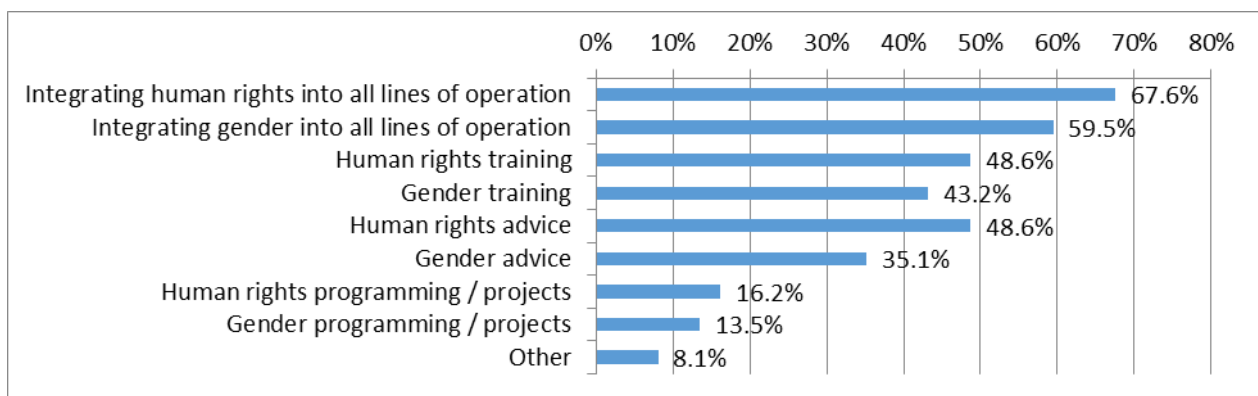
When asked if they were optimally placed, all gender advisers in the military missions and operations said 'yes'. Advisers in civilian missions and at headquarters were less satisfied with how

they were placed. Of all respondents 72% said they were optimally placed and 28% said they were not.

As with human rights advisers, the placement of gender advisers depends on the core tasks and therefore there is no single optimal location for gender advisers in the CSDP organigrams at headquarters or in missions.

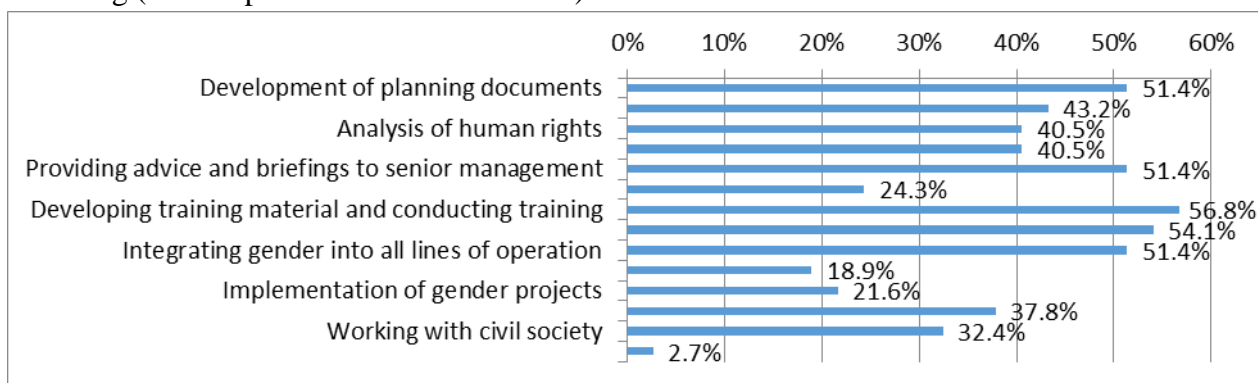
For the main work strands of HR/G advisers

As noted in baseline 3, human rights and gender advisers identified the main strands of human rights and gender work in their missions and operations as being focused on (several priorities could be chosen):



**Image: Main work strands for human rights and gender within CSDP**

The advisers and focal points are however involved in a broad range of central work strands, including (several priorities could be chosen):



**Image: Human rights and gender advisers and focal points work strands**

## Analysis

The fact that there is limited capacity at headquarters to support gender advisers and focal points in missions and operations has a direct effect on the slow pace of institutionalising gender issues and women, peace and security initiatives within CSDP. The missions with full-time gender advisers and functioning gender focal point systems are those in which the most significant work on integrating a gender perspective and on women, peace and security has been done. However, the

lack of capacity at headquarters means there are few avenues for ensuring that this work can inspire and be learnt from by other missions. Perhaps even more crucially, gender focal points on short-term deployments in military missions and operations and no prior knowledge of gender work, would benefit from increased support.

## **Baseline 9: Extent of gender training available for CSDP personnel**

### **Introduction**

Training is an important tool for institutionalising policies and for knowledge transfer, not only for human rights (as measured by baseline 4), but also for integrating a gender equality perspective and working on women, peace and security issues. As human rights and gender are addressed in parallel within much of CSDP activities, most training opportunities also focus on ‘human rights and gender’, that is not in separate sessions. The information provided for this baseline therefore largely repeats information already provided in baseline 4.

### **Baseline**

The headquarters CSDP services (CPMD, CPCC and EUMS) do not provide systematic induction training for their new arrivals with human rights and gender elements. However, the majority of missions do include human rights and gender elements in their induction training or packages (only three missions responded that they did not have human rights and gender elements in their induction training). Human rights and gender are also included in most courses organised by ESDC, ENTRi and European Police Services Training. The ESDC also hosts two online training modules on gender (one developed in cooperation with CMPD in 2015) that are used as preparatory material for the majority of the ESDC courses and also in the EUMS annual induction training.

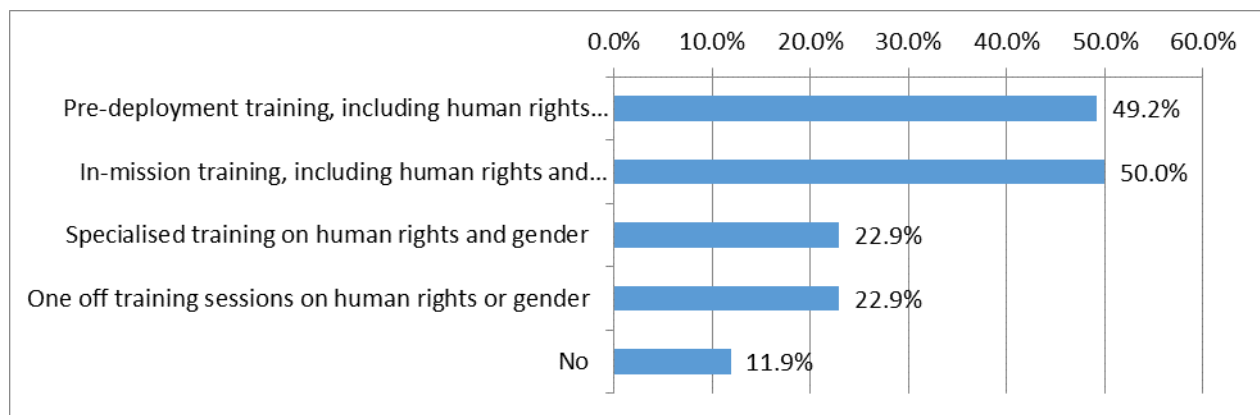
In 2011, the Political and Security Committee commissioned the development of three pre-deployment modules on human rights, gender and UNSCR 1325 on women, peace and security and children and armed conflict. The human rights module was finalised in 2013 and the gender/women, peace and security module in 2016, while the pre-deployment module on children and armed conflict remains a draft.

There are also a number of specialised training courses — lasting four or five days — organised on gender, human rights, international humanitarian law and protection of civilians. Under the auspices of the ESDC, two specialised courses focus on gender and peace operations respectively (3 per year) and gender and CSDP (two per year). Other ESDC courses also look at the law of armed conflict (three per year) and the protection of civilians (once per year). ENTRi also offers specialised courses on human rights and on gender.

However, only 22 % of the human rights and gender advisers and focal points that responded to the baseline study questionnaire said that they had received pre-deployment training with human rights

and gender elements and only 30 % of them stated that human rights and gender elements had been included in their induction packages.

A question about human rights and gender training was also included in questionnaire 5 for other personnel engaged directly in planning or implementing mission mandates. It showed that only about 50 % of the respondents had received either pre-deployment or in-mission training on human rights and gender.



**Image: Human rights and gender training for non-specialised staff**

## Analysis

The fact that human rights and gender should be integrated into CSDP is well communicated to and by the key CSDP training providers. For example, the pre-deployment training provided by ESDC always includes a session on human rights and gender and all training providers contacted emphasised that they were under the obligation to include human rights and gender modules or that they generally did so. However, not all Member States require their seconded personnel to attend pre-deployment training, and non-seconded staff, i.e. internationally and locally-recruited staff, are largely dependent on training provided in mission.

The lack of systematic training for all staff, in particular senior and middle-management, was also emphasised as a challenge by CSDP human rights and gender advisers when reviewing this report at the annual meeting: as of yet, CSDP does not ensure a common base and understanding of core concepts such as human rights and gender for all staff entering the CSDP structures in Brussels or missions.

## **Baseline 10: Extent of and measures for ensuring institutional knowledge of gender issues/women, peace and security (UNSCR 1325 and related resolutions)**

### **Introduction**

Systematic knowledge management and sharing is key to the effective implementation of EU policies and objectives on gender equality and on women, peace and security (UNSCR 1325). In order to set a baseline measure for this, a distinct group of respondents were targeted across missions. The respondents included:

- full-time gender advisers (expert position);
- human rights and gender advisers (expert position);
- gender focal points (part-time, non-expert); and
- human rights and gender focal points.

The aim was specifically to elicit information on the extent to which the following knowledge management systems were in place:

- means for gender advisers and focal points to network/ share lessons and best practices;
- systematic production and archiving of handover notes;
- access to relevant information about gender and women, peace and security activities at headquarters and in missions for relevant personnel (including in other missions); and
- development of operational guidance in order to facilitate implementation of gender policies.

### **Baseline**

Of the 37 respondents (43 % female), only about 30 % had received handover notes from their predecessors when they took their positions, while about 27 % received guidance from a superior. A quarter of them reported that archived lessons on gender / women, peace and security from other CSDP missions have provided them with helpful information and guidance related to their position and responsibilities. Induction packages with gender elements were received by 30 % of the respondents and about 22 % attended pre-deployment training with gender elements. It should be noted though that the responses do not specify whether the information / guidance / training received are focusing on gender issues and concepts, women, peace and security or both.

The main mechanisms for networking across missions and for peer-to-peer learning are currently the annual meetings of CSDP human rights and gender advisers and the CSDP human rights and gender email list ('community of practice') established in 2015. However, as noted in the corresponding baseline for human rights (baseline 5) the turnover in missions is such that advisers and focal points quickly change and will not necessarily have received information that ensures continuity.



## Analysis

The fact that less than a third of respondents received induction training on gender in the context of the mission mandate means that gender focal points in particular, who may come to the position with no prior experience in the domain, are at a distinct disadvantage when it comes to the EU and UN policy framework on gender equality and women, peace and security. As gender becomes an increasing integral element of pre-deployment training (as noted in baseline 4), so too should it be a core component of induction training with a clear focus on context-specific challenges to gender equality and women, peace and security.

The EU gender action plan 2016-2020<sup>10</sup> outlines specific recommendations applicable to CSDP missions with regard to women, peace and security, however the findings of this baseline indicate that institutional knowledge on UNSCR 1325 is not present in all mission contexts. This knowledge gap could be mitigated by developing accessible and tangible toolkits on how to engage on this issue. These could also nominate advisers to relevant interlocutors and identify national action plans for implementing UNSCR 1325, where applicable.

## Baseline 11: Extent of resources allocated to integrating gender/UNSCR 1325

### Introduction

Ensuring the adequate allocation of financial, human and technical resources is vital for the effective implementation of EU policies on gender equality and on women, peace and security, and importantly, in facilitating institutional cultural shift. This baseline will provide a measure for assessing the resources allocated to gender and women, peace and security against delivery of results linked to EU commitment and policies.

### Baseline

About 15 senior management staff, gender advisers and gender focal points in different CSDP missions provided information on the allocation and use of gender resources. 12 of the respondents (or 80 %) indicated that less than 1 % of the mission budget are allocated to gender / women, peace and security related activities, while the remaining 20 % of respondents indicated between 1-4 %. This points to a disparity between the high degree of commitment expressed in EU policy documents and discourse and by the leadership of CSDP missions to mainstream gender equality into planning, policies and actions and the budget allocation for gender-related activities.

Interestingly, human rights and gender advisers and focal points stated that the resources most relevant to them were:

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<sup>10</sup> Gender Equality and Women's Empowerment: Transforming the lives of girls and women through EU external relations 2016-2020.

- support from colleagues (58.3 %);
- support from senior management (41.7 %); and
- support from other EU colleagues (30.6 %).

Policy and operational guidance was deemed important by 25 % of the respondents, and financial resources by only 2.8 %.

## Analysis

The challenge of the integration approach is that there is seldom any real assessment of what resources would be needed to actually ensure that, for example, gender is integrated into mission structures and all lines of operations. This is also showed in the results: There is also no real assessment made of what kind of resource commitment the task of integrating gender would demand.

## IV. WOMEN'S AND MEN'S PARTICIPATION IN CSDP MISSIONS AND OPERATIONS (INTERNAL PARTICIPATION)

### IV.1 Introduction to internal participation

Internal integration	<b>INTERNAL PARTICIPATION</b>
External integration	External participation

Equal participation of women and men at all levels is an important tool for gender equality. Encouraging and enabling women's participation in crisis management is also an important component of implementing UNSCR 1325 on women, peace and security. The baselines chosen for internal participation measure women's and men's participation in CSDP structures, to what extent and how this is encouraged and efforts made to prevent and address discrimination and harassment.

### Baseline 12: Number and % of women's and men's representation at different levels and efforts to encourage increased gender balance as at November 2015

#### Introduction

This baseline measures women's and men's representation within CSDP, what is done to support increased representation of women and to what extent gender-segregated data are available. While an equal or balanced representation of women does not in itself ensure equality or attention to integration of a gender perspective, a balanced representation of women will have an effect on CSDP culture and give credibility to the EU's proclaimed commitment to women's participation and to gender equality. Moreover, in many contexts women's participation may be necessary for, or at least greatly facilitate, contacts with women in the host government and civil society.

## Baseline

### Representation

By the end of 2015, one in five management positions in CMPD was held by a woman, and 26 of 63 CMPD staff were women. There was one woman in the senior management team in EUMS; and 13 of 212 EUMS staff were women. One of three heads of divisions in CPCC was a woman, and one of seven heads of section was a woman. 28 of 59 CPCC staff were women.

In February 2016, 29.2 % of all staff in CSDP civilian missions were women (i.e. 20.7 % of seconded international staff, 28.4 % of international contracted staff and 36 % of local staff).<sup>11</sup> There are no overall statistics on women's representation in CSDP military missions and operations, but an approximate figure is 3-7 %. The following snapshots give an indication of women's representation in CSDP military missions and operations:<sup>12</sup>

- Operation Althea: All 19 international civilian consultants are male. 36 of 821 military personnel are women. However, women make up 47.12 % of local staff.
- Operation Sophia: There are three women of a total of 54 (i.e. 5.26 %) in the Command Group, Chief of Staff and Deputy Assistant Chief of Staff. 5 of 166 total staff are women.
- EUMAM CAR (Central Africal Republic): 2 of 48 staff are women.
- EUTM Somalia: 9 of 176 staff are women.
- EUTM Mali: 26 of 412 staff are women.

As regards recruitment processes, 43 % of CSDP structures in Brussels and CSDP civilian and military missions and operations always seek to ensure that women were represented in recruitment boards and 38 % said that they have gender-segregated data from recruitment processes.

### Gender-segregated statistics

Gender-segregated statistics are an important tool for measuring women's and men's representation in an organisation, and of course change over time. 57 % of the CSDP institutions that responded at headquarters and missions and operations said that they had gender-segregated statistics and 43 % said that they did not. Of those who said that they had gender-segregated statistics, only 29 % said that the statistics also showed what positions women held in the organisation. For example, CPCC has excellent statistics for its personnel in civilian missions, but the statistics do not show what positions women hold in the missions. Consequently, the statistics cannot be used to assess where in

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<sup>11</sup> Personnel figures of the civilian CSDP missions as at 29.2.2016.

<sup>12</sup> The figures presented across missions are not comparable, as missions interpreted question about senior management team, staff with management responsibilities and total number of female and male staff differently (some missions provided numbers and some missions provides percentages only). All figures are based on information provided in questionnaire 2 for heads of human resources.

missions effort should be made to increase women's participation — nor do they show the increase in numbers of women in leadership positions over time.

## Analysis

Women remain considerably under-represented within CSDP, especially in management structures and in CSDP military missions and operations. To a large extent, women's representation in CSDP correlates with women's representation in national security sector institutions. Given that all CSDP services do not have gender-segregated staff statistics and that most do not have statistics that show what positions women and men hold, the CSDP structures lack one of the basic tools for analysing women's and men's representation — and potentially developing tools to increase women's participation.

The baseline study did not ask for the age and gender ratio of staff in CSDP civilian and military missions and operations. It is, however, likely that women's representation is highest under the age of 35, as women with small children are less inclined to join non-family missions. Efforts to increase women's participation in the other age groups would then need to include reconsidering whether all CSDP missions need to be non-family postings, considering shared contracts (two people holding one position) and other innovative solutions.

## **Baseline 13: Number of gender-related disciplinary cases and types of measures to prevent and address gender-related discrimination, harassment, abuse and violence**

### Introduction

Ensuring that the EU holds itself to the highest possible standards when operating in crisis and conflict situations is crucial to ensuring that CSDP staff can work efficiently and that the reputation of CSDP missions is beyond reproach. Conduct and discipline are an important part of this, as is ensuring that CSDP missions prevent and address gender-related discrimination, harassment, abuse and violence.

### Baseline

No gender-related complaints, including complaints of gender discrimination, sexual harassment or sexual abuse were reported and investigated in CSDP missions in 2015, and consequently none had resulted in disciplinary measures. However, when answering the questions on whether formal complaints had been filed, one respondent noted that they were aware of two cases, but did not know whether formal complaints had been filed, and another respondent noted that no formal complaints had been filed, but that 'belittling women's opinions and contributions is a daily practice'.

38 % of the respondents said that both women and men were always represented on disciplinary boards, 62 % said that they were not.

57 % of the respondents said that their organisation had undertaken preventive measures against gender discrimination and sexual harassment and abuse, 43 % said that it had not. However, it is unclear whether this figure includes training relevant to conduct and discipline or simply sharing the missions' or operations' codes of conduct and discipline. CSDP personnel seconded from national security and justice sector institutions are obviously also bound by the rules of conduct and discipline of their seconding authority.

### **Analysis**

The EU seeks to implement a zero tolerance policy on gender discrimination and sexual harassment and abuse. In this regard, it is very positive that no formal complaints relating to these issues were made in 2015. However, the baseline study did not ask about whether women and men would feel comfortable about filing complaints relating to discrimination and harassment and it did not ask about discriminatory attitudes in general (whether women and men have equal opportunities, whether their work performances are equally valued or to what extent derogatory or sexist comments and jokes are tolerated). Unprompted, one respondent noted that they knew about cases that might not have been formalised and one respondent noted that 'belittling' of women's contributions is daily practice. Addressing attitudes is crucial to ensuring the implementation of a zero tolerance policy towards discrimination, harassment and abuse.

## V. INTEGRATING HUMAN RIGHTS AND GENDER INTO CSDP ACTIVITIES (EXTERNAL INTEGRATION)

### *V.1 Introduction to external integration*

Internal integration	Internal participation
<b>EXTERNAL INTEGRATION</b>	External participation

The main measure of success of CSDP efforts to integrate human rights and gender is how these efforts contribute to the success of CSDP missions, and the impact they have on the integrity and legitimacy of the institutions that CSDP is working with and on the lives of citizens — women and men, girls and boys — in the contexts and countries where CSDP missions and operations are deployed.

Assessing impact is challenging for a first time baseline study. As was already noted in the seven impact case studies, it is easier to show process than it is to show actual impact. However, in order to assess external integration, the baseline study sought to measure messages, activities and tools.

### *V.2 Human rights*

#### **Baseline 14: Number and type of key messages relevant for human rights**

##### **Introduction**

An important measure for external integration of human rights is how CSDP missions communicate about human rights i.e. key messages on human rights made in key leadership engagements, in advising/mentoring situations and public awareness campaigns. However, the baseline includes not only positive communication on human rights, but also how CSDP missions and operations react when they learn about systematic human rights violations committed by key partners. Creating a measure for messages proved difficult, as CSDP communication from headquarters to the field differs considerably from communication between missions. Instead, efforts were made to identify types of communication that can serve for further study.

##### **Baseline**

Baseline 2 on leadership engagement for human rights showed that almost all CSDP managers who responded considered that human rights was a core EU value and part of their responsibility to promote. It also showed that most managers considered that they had directly engaged on human rights only a limited amount of times in 2015. This may also indicate that CSDP managers do not actively incorporate human rights messages in their public engagements or in their meetings with international or national counterparts. However, managers may well be incorporating messages on

democratic values, rule of law and due process and accountability without considering these to be human rights issues.

When human rights messaging was discussed with the advisers and focal points at the annual meeting, the advisers noted that it is important to ensure consistency as well as context-specificity in the messaging, and that consistency also demanded that missions and operations be ready to tackle difficult issues that may challenge their relations with local partners. Mistreatment and torture were raised as particularly complicated: it is an issue that is integral to human rights training conducted by CSDP missions, but the lessons from the training are not always systematically integrated into policy approaches and public communication.

## Analysis

While the baseline study was not able to establish a baseline on messaging, the questionnaires and discussions with the advisers and focal points highlighted a number of areas in which further operational guidance may be needed. These include:

- better guidance on how human rights interconnects with core CSDP mandates;
- how to ensure consistency between leadership and desk-level communication on human rights; and
- how to tackle subjects that may complicate CSDP and host government relations.

## Baseline 15: Number and type of activities and tools relevant for human rights

### Introduction

The external integration of human rights can be identified by:

- the specific activities undertaken that are relevant for human rights,
- what tools (guidelines, checklists, training and advocacy material, etc.) have been developed and used to facilitate human rights activities, and
- how missions and operations assess the resources used for this work.

In order to measure external integration, the baseline study asked CSDP missions to summarise the main goals of their human rights work, what activities have been undertaken and what tools have been developed in support of these goals and what human resources the mission has available for this work. The overview of their activities can be found in Annex 3.

### Baselines

All CSDP missions underline that adhering to human rights principles is part of their goal or that they mainstream human rights into all activities. The activities that the missions undertake vary considerably depending on the mission's mandate and the human rights resources available.

The majority of CSDP civilian mission mandates focus on advising, mentoring and training national civilian security sector institutions, while some of the civilian missions also advise, mentor and train national justice sector institutions. The exceptions are EULEX Kosovo, which has an executive mandate in the justice sector and the EUMM monitoring mission in Georgia. The integration of human rights into the civilian missions or the specific human rights activities mentioned by CSDP civilian missions has therefore been primarily focused on supporting the development of national human rights strategies, the inclusion of human rights in national security sector strategies, integrating human rights elements into advice and mentoring and, extensively, human rights training. Most civilian missions have also developed tools specific to their human rights activities, for example human rights guidelines, training and advocacy material. Civilian missions usually have one or two advisers responsible for the human rights tasks.

There is currently one CSDP military operation focused on security provision on land, two CSDP maritime operations, one operation with mainly advisory functions and two military training missions. The military missions' and operations' work tends to focus on international humanitarian law with elements of human rights work. Military missions and operations seem to in general commit less resources than civilian missions to human rights; only EUTM Mali has currently expert advisers on human rights.

## **Analysis**

All CSDP missions and operations engage in one way or another on human rights issues. However, the types of engagement vary extensively, as does their resourcing. However, there are also similarities: many missions include human rights elements in their advice and run basic and advanced training on human rights for internal and external security forces. This provides opportunities for synergies through increased cooperation between missions and the centralised archiving of tools.

This baseline did not measure the quality of the activities or tools, nor does it indicate how well the activities are integrated with other mission priorities and activities. However, there is much potential to build on what is currently being done and to develop overall guidelines and best practice toolboxes for use across CSDP.

## ***V.3 Gender and integration of UNSCR 1325 on women, peace and security***

### **Baseline 16: Number and type of key messages relevant for gender/UNSCR 1325**

#### **Introduction**

An important indicator for measuring the external integration of gender and women, peace and security is how CSDP communicates about human rights. This includes the main messages on



gender issues made in key leader engagements, in advising/mentoring situations and in public awareness campaigns. However, it also includes consistent communication by advisers, mentors and training officers.

### Baseline

Baseline 2 on leadership engagement for gender showed that almost all CSDP managers who responded to the questionnaire considered that gender was a core EU value and part of their responsibility to promote. It also showed that most managers considered that they had directly engaged on gender issues only a limited amount of times in 2015. This presumably also indicates that CSDP managers do not actively incorporate gender messages in their public engagements or in their meetings with international or national counterparts.

When gender messaging was discussed with the advisers and focal points at the annual meeting, it was noted that it is important to ensure messages are consistent and context-specific, and that consistency also demanded that missions and operations be ready to tackle difficult issues that may challenge their relations with local partners.

### Analysis

While the baseline study was not able to establish a baseline on messaging, the questionnaires and discussions with the advisers and focal points pointed to a number of areas where further operational guidance may be needed. These include:

- better guidance on how gender and women, peace and security interacts with core CSDP mandates;
- how to ensure consistency between leadership and desk-level communication on human rights; and
- how to tackle subjects that may complicate CSDP and host government relations.

### Baseline 17: Number and type of activities and tools relevant for gender/UNSCR 1325

#### Introduction

The external integration of gender / women, peace and security activities can be measured by identifying what specific activities are undertaken relevant to promote gender issues/women, peace and security (UNSCR 1325); and what tools (guidelines, checklists, training and advocacy materials, etc.) have been developed to facilitate the integration of gender/women, peace and security activities. In order to assess activities and tools, the baseline study collected and assessed the number and type of specific gender/women, peace and security activities undertaken during 2015. An overview of all activities can be found in Annex 3.

## Baseline

All CSDP missions underline that adhering to integrating gender perspectives and/or UNSCR 1325 is part of their goal, or that they mainstream human rights into all activities. The activities that the missions undertake vary considerably depending on the mission's mandate and the human rights resources available.

The 37 gender and human rights advisers and focal points who responded to this study stated that integrating gender into all lines of operation (59.5 %) and providing gender training (43.2 %) are the most common gender-related activities in CSDP missions/operations. Within their organisations, they are often asked to provide advice and briefings to senior management (51.4 %) and conduct gender analysis (40.5 %). The respondents also point to a high level of participation in annual meetings of CSDP human rights and gender advisers and focal points (64 %). Externally, about 32 % of gender and human rights advisers and focal points undertake gender / women, peace and security activities with civil society,<sup>13</sup> and about 25 % provide advice and consultations to local authorities.

## Analysis

All CSDP missions and operations engage in one way or another on gender issues. However, the types of engagement vary extensively, as does their resourcing. However, there are also similarities: many missions include gender or women, peace and security elements in their advice and run basic and advanced training on gender/UNSCR 1325 for internal and external security forces. This provides opportunities for synergies through increased cooperation between missions and the centralised archiving of tools.

This baseline did not measure the quality of the activities or the tool, nor does it indicate how well the activities are integrated with other mission priorities and activities. However, there is much potential to build on what is currently being done and to develop overall guidelines and best practice toolboxes for use across CSDP.

For a discussion about activities, see above

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<sup>13</sup> The data do not specify whether the civil society organisations are local or international or whether there are women's organisations.

## VI. CSDP ENGAGEMENT WITH WOMEN AND HUMAN RIGHTS DEFENDERS (EXTERNAL PARTICIPATION)

### *VI.1 Introduction to external participation*

Internal integration	Internal participation
External integration	<b>EXTERNAL PARTICIPATION</b>

Promoting gender equality and integration of UNSCR 1325 on women, peace and security involves engaging with both women and men and ensuring that both women's and men's experiences and needs are taken into account in crisis, conflict and peacebuilding settings. At a policy level, this involves recognition that women and men, girls and boys may have different experiences and needs and ensuring that this is reflected in key policy processes. At a practical level it involves actively reaching out to all relevant stakeholders, including those not traditionally represented in security sector institutions or consulted on security sector reform and related areas of CSDP activity.

The baselines chosen for external participation aim at measuring the extent to which human rights and gender issues are integrated into CSDP partnerships and to what extent and how CSDP missions and operations engage with women decision-makers, security sector officials and civil society in the countries in which they are deployed.

### *VI.2 Human rights*

#### **Baseline 18: Number and type of human rights initiatives in CSDP partnerships, especially in the host country, with multilateral organisations and civil society**

##### **Introduction**

CSDP missions operate in an increasingly complex global security environment and are deployed into increasingly complex crisis and conflict situations. Partnerships with other international actors and with host governments are crucial to the success of CSDP missions and to wider efforts to stabilise crisis and conflict situations. EU norms and values and key policies also guide these partnerships. In order to create a baseline to measure how human rights have been integrated into CSDP partnerships, this study will apply the following baselines to how human rights and gender is integrated into CSDP cooperation and partnerships at headquarters level and in missions and operations.

The original baseline aimed to ascertain the number of human rights activities with partners. This proved difficult to assess, as many of the partnerships of both the CSDP institutions in Brussels and in missions are process-oriented partnerships, rather than partnerships developed to implement specific activities. Obviously, long-term partnerships, whether focused on advice and mentoring,

capacity-building and training or consultation and coordination are preferable to one-off partnerships.

The three main types of partnerships of CSDP missions are:

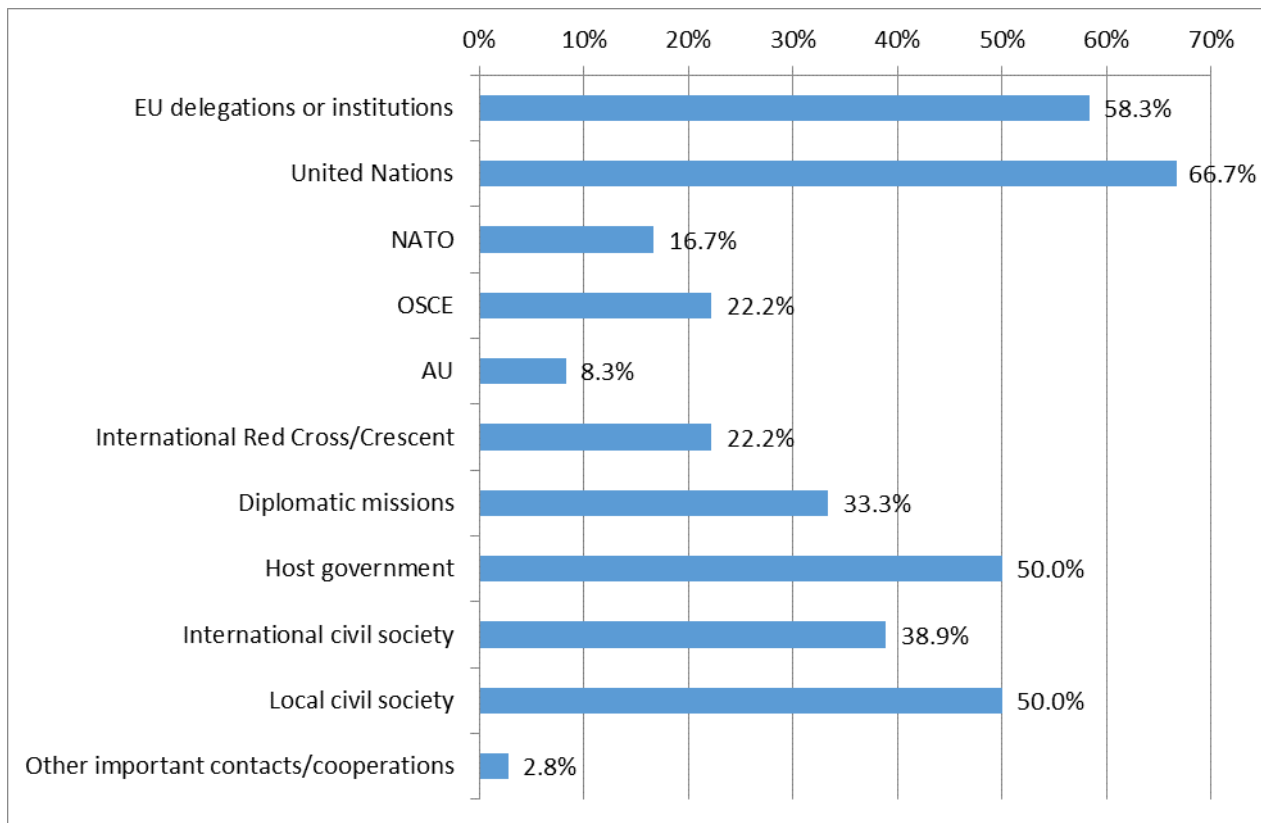
- partnerships with international organisations that tend to focus on coordination, information-sharing and reducing duplication of activities;
- partnerships with national governments with a view to providing advice, capacity-building and support; and
- partnerships with civil society — including human rights defenders and women's groups — that are either focused on actual cooperation on projects or that are consultative in nature.

### **Baseline**

The key partners for integrating human rights and gender into CSDP cited by over half of human rights and gender advisers and focal points were:

- EU delegations and other EU institutions;
- the United Nations;
- host governments and local civil society.

Less important overall partners, but certainly important partners where both organisations are present at the same time, were NATO, the Organization for Security and Cooperation in Europe (OSCE) and African Union (AU).



**Image: Main partnerships as identified by CSDP human rights and gender advisers and focal points**

## Analysis

All CSDP missions engage with partners (international organisations, government and civil society) in some way on human rights. However, the extent and content of the partnerships depend on the context and needs of the mission. For example, in Mali and Ukraine coordination is a key function as these are both crisis hot-spots which attract many actors and where it consequently becomes important to try to build synergies rather than overlap with other actors. In other contexts, CSDP missions depend on partners to fulfil their human rights mandates. For example, Operation Sophia cooperates with the United Nations High Commissioner for Human Rights to ensure its staff receive human rights training, and EUTM Somalia also cooperates with the UN to provide human rights training for the Somali military.

## Baseline 19: Number and type of engagement with human rights defenders in the host country

### Introduction

Advising and supporting the reform of national security forces or justice institutions, especially in conflict and post-conflict situations, demands in-depth understanding of how the security forces operate and how they are perceived by the local population. Human rights defenders can be a vital ally for CSDP missions in developing the CSDP understanding of the security institutions and how they are perceived, and are also vital partners in, for example, training and outreach. Interaction with human rights NGOs has also been a requirement since the adoption in 2012 of the EU Action Plan on human rights and democracy, Action 2(c) of which states that ‘Heads of EU Delegations, Heads of Mission of EU Member States, heads of civilian missions and operation commanders shall work closely with human rights NGOs active in the countries of their posting’. In order to measure how CSDP missions engage with human rights defenders, the baseline study sought to identify at what level and how CSDP missions engage with human rights defenders.

### Baseline

CSDP missions consult and engage with civil society organisations. Several CSDP civilian missions in particular have designated full-time civil society officers, and all missions have a contact point for external contacts. As part of CSDP engagements with civil society, CSDP missions also engage with human rights and also particularly with women’s human rights defenders. However, CSDP missions did not report that they work particularly with human rights defenders, although there is occasional collaboration and informal cooperation.

CSDP services in Brussels, especially CMPD, collaborate with the European Peace Liaison Office (EPLO), a network for peacebuilding NGOs, under the umbrella of the Civil Society Dialogue Network (CSDP). EPLO supports the organisation of civil society consultation as part of strategic reviews, and interaction with civil society if required under the crisis management procedures for preparing strategic reviews. CSDP services’ engagement with EPLO and civil society is, however, not yet systematic.

CSDP missions engage with civil society organisations through collaboration, liaison and consultation. As regards the level of engagement, in nine cases, the engagements takes place with subject matter experts of the civil society organisations, i.e. the human rights and/or gender adviser or focal point, in three cases with senior management, seven mentioned other engagement.



## **Image: Level of engagement with human rights defenders**

### **Analysis**

CSDP institutions in Brussels and missions and operations engage increasingly with civil society, although multilateral organisations, governments and especially government internal and external security forces remain the main counterparts for CSDP, both in Brussels and in the field. There is a recognition that civil society organisations can bring useful perspectives to missions and that they may also be an important pressure group. CSDP missions do not specifically focus on human rights defenders, but they are included in the CSDP missions wider work with civil society. Singling out human rights defenders may also not be necessary, as long as there is a recognition that CSDP missions that advise and support security and justice sector reform efforts need to engage on systematic human rights violations committed by security and justice sector institutions.

### ***VI.3 Gender and integration of UNSCR 1325 on women, peace and security***

#### **Baseline 20: Number and type of gender/1325 initiatives in CSDP partnerships, especially in the host country, with multilateral organisations and civil society**

##### **Introduction**

During 2015 there were several high levels events relevant to women peace and security (footnote events), and as a consequence 2015 may not be representative of engagement for women, peace and security. However, , it will be important to monitor over time how the increased focus on women, peace and security in 2015 in Brussels and in CSDP missions is followed up on.

##### **Baseline**

In 2015, the CSDP services in Brussels increased their engagement on gender and on UNSCR 1325 on women, peace and security. For example, women, peace and security was integrated into the EU-UN Action Plan for crisis management and discussed at the EU-UN Steering Committee on crisis management. This aim was to ensure a continued focus on women, peace and security in crisis management cooperation between the EU and the UN. EU-NATO desk-to-desk meetings on women, peace and security were also started in 2015, and the first desk-to-desk meeting of EU-NATO-UN gender advisers were planned (they were held in June 2016).

The UN global review had a less direct effect on CSDP partnerships on the ground than it did in inter-institutional cooperation. However, some partnerships on gender and women, peace and security are ongoing in all CSDP missions. These partnerships are systematic mainly in the missions that have expert or at least full-time staff working on gender/women, peace and security. The extent and content of the partnerships also depend on the mission's context and needs. For example, in Afghanistan, Mali and Ukraine coordination has been a key function of the partnerships

as these are crisis hot-spots that attract many actors, making it important to try to build synergies rather than overlapping mandates. In other contexts, CSDP missions and operations depend on partners to fulfil their gender mandates.

### **Analysis**

The increased CSDP coordination on gender and UNSCR 1325 on women, peace and security with other multilateral security actors, currently mainly the UN and NATO, but later also potentially Organization for Security and Cooperation in Europe and AU, is important. It has the potential to improve the efficiency of delivery of these issues through building synergies, sharing lessons, collaborating on training, but can also help increase the professionalisation of gender advisers working with security and defence actors. However, it is important both at headquarters and within CSDP missions to ensure that the partnerships contribute to the core mandate and are not perceived as additional extras or peripheral engagements.

### **Baseline 21: Number and type of engagement with women in decision-making positions or women employed in security sectors in the host government's institutions**

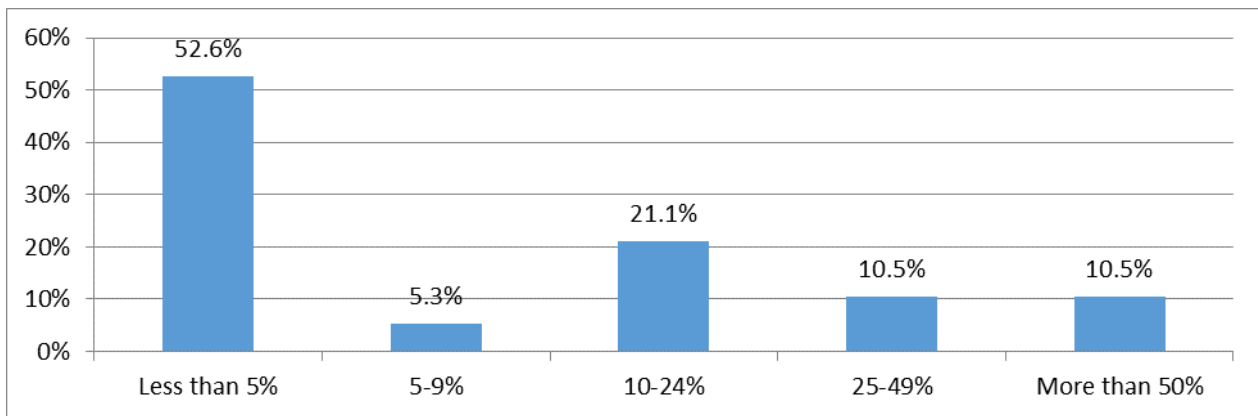
#### **Introduction**

Women's participation is key to implementing UNSCR 1325 on women, peace and security and its follow-up resolutions. Women's participation and making sure that women's opinions matter is important for building sustainable peace, but also for ensuring that new or reformed government and security institutions take women's experiences of security — and insecurity — seriously. It is therefore important that CSDP missions and operations consult and engage with women in the host country institutions. This baseline seeks to measure that engagement.

#### **Baseline**

More than 50% of all missions considered that less than 5 % of their national interlocutors were women, while only two missions (one civilian and one military) considered that over half of their interlocutors were women.





**Image: Approximate percentage of missions' women interlocutors (government officials, representatives of national security services, civil society, etc.)**

The baseline questionnaire did not ask the missions to specify how they engage with women. However, as well as engaging with women working in government institutions, the missions also engage with women by:

- consulting and cooperating with women's groups;
- developed and implemented strategies to encourage more women to join security forces;
- supporting family units or violence against women response centres in national security institutions.

## Analysis

In baseline 12 it was noted that women constitute about 25 % of personnel in CSDP civilian missions and that approximately 3-7 % of staff in military missions and operations are women. CSDP is, therefore, clearly a male-dominated field. In this regard, it is also significant that almost 60 % of missions consider that they engage with women interlocutors less than 5 % or 5-9 %: women's representation and CSDP missions' engagement with women is currently too limited for CSDP to be able to ensure that it promotes an inclusive security approach or lives up to the core ideas of the UNSCR 1235 and its follow-up resolutions on women, peace and security.

## VII. CONCLUSIONS AND RECOMMENDATIONS

The first policy documents encouraging the integration of human rights and gender equality into CSDP were adopted in 2006. Since then, several CSDP-specific and EU-wide policy documents have emphasised the importance of integrating human rights and gender equality into CSDP. It has been also been widely recognised that efforts to move from policy to practice on human rights and gender equality in CSDP have been far from straightforward.

While human rights and gender equality may be fundamental norms of the EU, the CSDP institutions — and also EU Member States — do not have the reflex to consistently ask: how do

systematic and gross human rights violations affect a specific crisis situation? How could working with a human rights perspective help build institutions that are transparent, legitimate and trusted? Does our analysis of the crisis also reflect the needs and opinions of women, young people and children and other groups that are seldom consulted in crisis situations or when making security sector reforms?

The baseline study on integrating human rights and gender into CSDP confirmed the assumption: we are only beginning to understand how to integrate human rights and gender equality into CSDP missions in a systematic way that will ensure well-integrated and sustainable results.

This study has established baselines, but also clearly identified where the gaps are and which should be most urgently addressed, and provided examples of how CSDP missions do work to promote and improve human rights and gender issues.

## **MAIN FINDINGS**

### **Internal integration**

1. **Planning case studies.** The fact that the crisis management procedures include references to human rights and gender has ensured that most CSDP strategic and operational planning documents also do so. However, the references remain generic and the crisis management procedures provide limited guidance on what missions should do to integrate human rights and gender in relation to their core mandate, or on what resources — financial, technical or human — are needed to ensure this integration occurs. Six-monthly reports mainly tend to include narrative information on human rights and gender, and it is only when missions produce special reports that more analytical feedback is available. Strategic reviews are for the most part silent on human rights and gender, suggesting that human rights and gender are not viewed as strategically relevant for CSDP missions.
2. **Impact case studies.** The impact of human rights and gender activities in missions is greatest and best understood by the missions when the missions employ human rights' and gender experts and when there are well-developed institutional structures and mechanisms for integrating human rights and gender. Missions that have integrated human rights and gender from early planning and implementation stages — through senior management engagement, well-placed expert advisers, focal point systems, etc. — are more likely to implement human rights and gender activities that are viewed as integral to the core mandate rather than supplementary than missions that do not have relevant structures in place. Focal point systems (i.e. establishing an institutional structure for integrating human rights within the mission) coupled with context-specific human rights and gender training contribute to greater understanding of the linkages between human rights and gender and the mission mandate. Staff can then become proactive in working with colleagues on more comprehensive integration within their particular area of activity.

3. **Commitment and resources.** Human rights and gender are recognised as core values of the EU, and thus also as integral to CSDP. This notwithstanding, CSDP institutional culture, lack of knowledge and lack of host country commitment are all viewed as significant challenges to integration of human rights and gender. CSDP management's concrete engagement on human rights and gender equality is limited and the responsibility is almost entirely placed on human rights and gender advisers and focal points. Most civilian missions have full-time human rights' and gender advisers, almost all military missions or operations have non-expert focal point positions. Focal points, though, usually spend less than half of their time on human rights and gender, have no prior experience on these issues and may be deployed to the mission/operation for as little as three months.
4. **Knowledge management and training.** Most pre-deployment and in-mission training provided by the EU — in Brussels/HQ or in missions and operations — include sessions on human rights and gender. However, almost half of those who replied to questionnaires had not received any training on human rights and gender. This is probably due to some Member States not including human rights and gender in their pre-deployment training (where Member States undertake such training), multiple recruitment bases (seconded staff, international and local contracts, etc.). High rate of staff turnover is an additional challenge, as evinced by the fact that half of the current human rights advisers and focal points had not participated in the July 2015 annual meeting of human rights and gender advisers and most had not access to the CSDP human rights and gender email list in spite of efforts to update the participation in the list every six months.

### Internal participation

5. **Women's and men's representation in CSDP.** Women constitute about 25 % of staff in CSDP civilian missions. There are no comprehensive statistics available regarding participation of women in CSDP military missions and operations. The gender imbalance in does affect the CSDP public profile and work culture.
6. **Gender-disaggregated human resources statistics.** CPCC has gender-disaggregated statistics concerning its staff while EUMS does not. However, the CPCC gender-disaggregated statistics does not show what positions women and men hold in a mission/operation. Consequently, CSDP cannot over time show progress on women in CSDP leadership positions or be used to identify teams, units and divisions that are all male or female and where additional support would be needed to increase women's or men's representation.
7. **Conduct and discipline.** Conduct and discipline is an integral element of EU pre-deployment and in-mission training with only a few missions having any additional focus on sexual or gender-based harassment. In 2015, no cases of sexual or gender-based harassment,

abuse or violence were reported by missions and operations. The participants at the annual meeting of CSDP human rights and gender advisers (May 2016) strongly suggested that focusing on reported cases does not fully reflect CSDP reality, as staff may choose not to report cases of harassment and cases can also be resolved through informal mediation mechanisms, where these exist.

## External integration

8. **Human rights.** Human rights norms, including, for example, due process, prohibition of illegal detention and torture, underpin much of the legal framework for European security and justice sector institutions. Human rights are then often integrated into CSDP activities in these areas. However, without particular attention to human rights, missions are unlikely to develop structured approaches to systemic human rights abuses within the institutions that they support and the respective risks stemming thereof and undermining the legitimacy of those institutions. CSDP human rights advisers have, for example, at several annual meetings expressed concern that although the EU has guidelines on the prohibition of torture, CSDP missions do not have a concerted strategy for addressing torture in the institutions with which they work.
9. **Gender Equality.** In order for CSDP missions to have a real impact for gender equality/women's empowerment in the institutions with which they work, the missions need to lead by example: increasing women's representation in management and in CSDP in general will enhance the operational effectiveness for gender equality. Within CSDP, gender equality approaches tend to focus on women's rights and gender training, increasing women's participation within institutions and supporting institutional structures focused on preventing gender- or sexual violence. The sustainability of this work is very much dependent on how well it is integrated into the overall mandate of the mission and adapted to the crisis or a particular country situation.

## External participation

10. **Partnerships.** Human rights and gender issues, especially integration of UNSCR 1325 on women, peace and security is an increasingly recurring topic in discussions especially with UN and NATO, at both management and desk level. Strategic (rather than systematic) cooperation has already showed that there is potential for important synergies on closer and more effective interaction in capacity-building, roles of advisers and country/crisis situations.
13. **Host governments.** The security and defence sectors in EU Member States and in most of the contexts where CSDP missions and operations are deployed have significant challenges with regard to women's participation and representation. Consequently, men and women are not equally represented in our CSDP missions and operations nor in the

national/regional/international organisations that we work with. Most CSDP missions and operations do, however, work with some women in the national security institutions both because women happen to hold positions where they are direct counterparts to the CSDP mission or operation, or because the mission/operation has activities that directly focus on women's participation in the national security forces. However, the missions/operations have limited guidance as to how to encourage women's better + more participation in national security forces and how to, for example, women should engage with women in national security forces in conservative contexts.

11. **Human Rights Defenders.** CSDP services in Brussels do, to a limited extent, consult and work with civil society. This is largely done through the European Peace Liaison Office (EPLO) and the ICRC, and on an ad hoc basis when approached by individual organisations. Civilian missions have instructions to hold consultations with civil society and many have a civil society liaison officer. Military missions work with civil society as part of coordination groups and on specific projects. While human rights defenders may be part of the civil society groups, CSDP does not work specifically with human rights defenders.

## **RECOMMENDATIONS:**

Based on the findings, the following key recommendations have been identified.

1. **Planning and review:** A more systematic, context-specific and result-oriented approach would be achieved by: (1) integrating human rights and gender expertise from the earliest planning stages and strategic reviews (i.e. this should be done in the early stages, not only in the drafting phase); (2) integrating human rights and gender expertise into operational planning teams in CPCC and EUMS; (3) in cooperation with planners, developing human rights and gender checklists and scenario-based tools, specific to CSDP planning and review; (4) implementing the new guidelines for mission implementation plans; and (5) requesting from CSDP missions and operations to do annual or biannual special reports on gender and/or human rights.
2. **Management commitment and engagement:** While there is a recognition that human rights and gender equality are basic values of the EU — and CSDP — most managers do not actively engage on human rights and gender issues. All CSDP managers should receive obligatory pre-posting training on human rights and gender and they should be briefed on the general principles, as well as the main human rights and gender issues relevant to their mission and area of operations. They should also be informed about the best practices of integrating human rights and gender into their mission/operation activities.
3. **Human Rights and Gender resources in Brussels HQ:** In order to enable CSDP structures in Brussels to ensure that human rights and gender are integrated into strategic and operational planning documents and that advisers and focal points in missions and operations receive the support that they need, **human rights and gender advisers** — well-

placed and visible in the institutional organigrams — should be included in CPCC and EUMS. The CSDP structures in Brussels HQ could then ensure adequate support functions (systematic inclusion of human rights and gender into all levels of planning documents, follow-up to annual meetings, managing the CSDP human rights and gender email list/‘community of practice’ and establishing a central resource database on human rights and gender relevant to CSDP).

4. **Human Rights and Gender resources in CSDP civilian missions.** Most CSDP civilian missions now have human rights and gender advisers who are frequently recruited in the mission establishment phase. This is a welcome development which has already borne fruit. However, CPCC should develop more detailed assessments of what institutional resources are needed for a mission to ‘integrate human rights and gender’, where human rights and gender advisers are most usefully placed, and to promote establishing gender focal points in all missions and integrate them in the planned EU Network of EU of Gender Focal Points.
5. **Human Rights and Gender resources in CSDP military missions and operations.** EUMS should encourage the inclusion of expert advisers rather than focal points for international humanitarian law, human rights and gender in their missions and operations (drawing on the positive experiences of EUTM Mali and Operation Sophia). Military training missions, in particular, need to ensure that humanitarian law, including protection of civilians, children and armed conflict and the prevention of sexual and gender-based violence, are integrated as standard agenda items in all training curricula. Expert advisers and focal points should be integrated into the planned EU Network of EU of Gender Focal Points.
6. **Peer-to-peer learning.** The annual meetings of CSDP human rights and gender advisers remain a useful forum for sharing experiences and networking. Human rights and gender advisers and focal points should be encouraged to make use of available tools such as the CSDP human rights and gender email list and the human rights and gender archive on the internet-based Civilian Missions Platform, as well as of the EU Network of Gender Focal Points, which is currently in planning in EEAS HQ.
7. **Human Rights and Gender Training.** Human rights and gender training is available for personnel deployed to CSDP missions and operations, but it is currently not ensured for all. Member States should be encouraged to include human rights and gender in all their training packages, where they exist, and work should continue to develop user-friendly operational guidance on human rights and gender relevant to the main thematic areas and regions of CSDP activity.
8. **Human rights strategies.** CSDP missions and operations should be consulted by Delegations during the drafting of the human rights strategies for the countries where they are operating within the scope of their mandates.

9. **Baseline Study.** In order to deploy the full potential of the Baseline study, it should be viewed as a living document, to be regularly updated, every two or three years.

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