



Asia Pacific Centre for the
Responsibility to Protect

Funding Proposal

**Strengthening the Responsibility to Protect
in the Asia Pacific**

27 April 2012

Glossary of Institutions and Acronyms

AICHR	ASEAN Intergovernmental Commission on Human Rights
AIPR	ASEAN Institute for Peace and Reconciliation
APC R2P	Asia Pacific Centre for the Responsibility to Protect, also appears as Centre in text
APB	Atrocity Prevention Board
ARC	Australian Research Council
ARF	ASEAN Regional Forum
ASEAN	Association of Southeast Asian Nations
AU	African Union
AusAID	Australian Agency for International Development
CSCAP	Council for Security Cooperation in the Asia Pacific
DAPT	Discovery-research, Advocacy, Policy-relevance and Training
DFAT	Australian Department of Foreign Affairs and Trade
DVC	Deputy Vice-Chancellor
ECOWAS	Economic Community of West African States
ERA	Excellence in Research for Australia – The ERA initiative assesses research quality within Australia’s higher education institutions
FTE	Full-time equivalent
GCR2P	Global Centre for the Responsibility to Protect in New York
GU	Griffith University
ICC	International Criminal Court
ICRtoP	International Coalition for the Responsibility to Protect
IAB	International Advisory Board
KAIPTC	Kofi Anan International Peacekeeping Training Centre
NFPs	National Focal Points
NGO	Non-Government Organisations
NTS	Consortium of Non-Traditional Security Studies in Asia
OSAPG	Office of the Special Advisor on the Prevention of Genocide
PIF	Pacific Islands Forum

POC	Protection of Civilians
POLSIS	School of Political Science and International Studies, University of Queensland
PSD 10	Presidential Study Directive
R2P	Responsibility to Protect
SBS	Faculty of Social and Behavioural Sciences
SGBV	Sexual and Gender Based Violence
SMSG	Special Representative of the Secretary General
UN	United Nations
UNSC	United Nations Security Council
UNSG	United Nations Secretary-General
UQ	University of Queensland

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1. PURPOSE

The Asia Pacific is often associated with being the region most committed to traditional interpretations of sovereignty and non-interference. Yet, over the past three years the Asia Pacific Centre for the Responsibility to Protect (APC R2P) has helped build and support constituencies who critically reflect on the tension between state sovereignty and human protection, and are engaged in an effort to institutionalize mass atrocities prevention and response at the national, regional and global level. There is much work to be done, and dual trends toward state reform (as in Myanmar) and episodes of violent repression of deep-seated conflict (as in West Papua) suggest that continued regional engagement to mitigate risk is both timely and much needed.

The purpose of this funding proposal is to outline a program of action for a second phase of the Australian-based APC R2P - from 1 July 2012 to 30 June 2015. Submission of the funding proposal was at the invitation of the Australian Agency for International Development (AusAID) following a mid-term review of the Centre's activities in mid-2011.

Building on the success of the first phase, the Centre is seeking AusAID support for an enhanced program of Responsibility to Protect (R2P) research, advocacy and training, with a special focus on the Asia Pacific. Supporting the Centre aligns with Australia's longstanding commitment to be at the forefront of international debates and action on R2P. **Centre staff take the view, expounded by the Australian Government, that R2P remains the best framework for preventing or halting the commission of atrocity crimes.**

Consistent with the R2P framework agreed by member states of the United Nations (UN) system, APC R2P seeks to build reliable knowledge about how to prevent genocide and other mass atrocities from breaking out; and assist other governments, non-government organisations (NGOs), and institutions, in reacting to actual or potential humanitarian emergencies.

The Centre seeks to continue to spearhead and support efforts to mainstream mass atrocity prevention across government agencies and within organizations tasked with providing regional and international security. The long term goal is for the R2P framework for atrocity prevention, assistance, and response to have sustainable local constituencies and institutions.

2. BACKGROUND AND ACHIEVEMENTS

The APC R2P was established in 2007 and received funding support from the Australian Government in 2009 enabling it to develop a program of activity that included policy-relevant research, advocacy, and training.

In its first phase the Centre has achieved:

- extensive regional and global partnerships including regular contact with the UN joint Office on the Prevention of Genocide and R2P and the Prevention of Genocide which is under the direction of appointments at the Under-Secretary General level.
- core in-house capacity that would not have evolved without the Agreement: 5 core staff; 8 dedicated research students; vibrant visiting speaker program; a student coalition; and a website 'resource' for policy makers, researchers and activists.
- a network of 14 R2P Fund research projects involving leading research-led institutions such as the Consortium of Non-Traditional Security Studies in Asia (NTS-Asia) (Singapore); Brookings (USA) and Oxford (UK). *[Note that this dimension of APC R2P phase 1 is not currently under discussion for future funding; however, the Centre remains keen to explore how a second Fund could enhance the development of R2P knowledge and good practice.]*
- the work of the Centre has been acknowledged by the former Australian Minister for Foreign Affairs, Kevin Rudd MP, APC R2P Patron the Honourable Gareth Evans AO and Edward Luck – also a Patron – and Special Advisor to the United Nations Secretary-General (UNSG) on R2P matters.¹

The Centre's research seeks to build **a stronger evidence base for policy and programs** to prevent and respond to genocide and mass atrocities. The outreach program aims to leverage this enhanced understanding to foster recommendations for deepening commitment to sovereignty as responsibility for civilian protection and humanitarian crisis handling while also reflecting regional norms and priorities. In this respect, **APC R2P outreach is both research-led and policy-facing**. It is research-led in so far as it is based on a critical examination of state and regional human protection and atrocities prevention policy, capacity and practice; it is policy-facing to the extent that regional consultations feed back into the Centre's ability to generate concrete policy recommendations, realizable implementation strategies, and, in the long term, policy uptake through behavioural and institutional change for R2P to be a reliable factor in crisis handling.

The Centre has contributed to a much more constructive and informed engagement of Asia Pacific countries on R2P, as highlighted in the mid-term review submission of 30 August 2011. Through its engagement with national, regional and international partners, it has helped to place **Australia at the forefront of a world-wide program of innovative and policy relevant knowledge on R2P**.

3. THE RECONFIGURED APC R2P

The context for this discussion is the mid-term review undertaken by AusAID and the Centre in 2011. This process identified the achievements and the lessons learned from phase 1 of the Centre (2009-12) to be incorporated into the proposed phase 2 (2012-15) of the Centre.

¹ As illustrated by former Australian Foreign Minister Kevin Rudd: 'Australia will work to broaden global and regional understanding of the lifesaving applications of R2P, and of the practical situations in which it might be deployed. We will pursue outreach in the Asia Pacific, both directly with regional diplomatic partners, and through the Asia Pacific Centre for the Responsibility to Protect at the University of Queensland, drawing on its extensive network of think tanks and civil society advocates' (25 May 2011).

3.1 ENHANCED CAPACITY

An unintended consequence of the organizational structure in phase 1 was the division of tasks into outreach *or* research; and while some activity bridged these two domains, there was not enough thought given to this relationship. In phase 2, it is proposed that all Centre staff will combine research, advocacy, policy-relevance and training.

Apart from increasing the full-time equivalent (FTE) of staff funded for Centre activities, there are commitments inside each of the three workstreams to apply for further funding applications to the Australian Research Council (ARC) and other bodies; additionally, to leverage capacity by developing linkages with R2P facing institutions and networks in the region.

3.2 PARTNERSHIP WITH LEADING RESEARCHERS AT GRIFFITH UNIVERSITY (GU)

The reconfigured Centre will generate a **critical mass of experienced R2P researchers and advocates** by combining the strengths of the University of Queensland (UQ) and GU to create co-institutional concentration of expertise unparalleled in the region.

GU and UQ were joint second in Excellence in Research for Australia (ERA) rankings in 2010; and both have significant capacity in fields related to R2P – peace and conflict, regionalism, theory and methodology.

Alex Bellamy, the Centre's founding Director, is Professor of International Security at GU; Dr Sara Davies, Senior Researcher at GU, and other researchers at GU working on R2P and related issues will become better integrated into the core of the new R2P Centre. Further details in relation to the GU-led workstream are provided below in section 4.2. The proposal for phase 2 is that GU academics would be resourced for R2P work that would not otherwise be undertaken.

3.3 GLOBAL STRATEGIC PARTNERSHIPS

The APC R2P works in partnership with New York-based organizations, specifically the Office of the Special Adviser on Prevention of Genocide (OSAPG), the Global Centre for the Responsibility to Protect (GCR2P), and the International Coalition for the Responsibility to Protect (ICRtoP). Strategic partnerships with these organizations is important for the following reasons: 1) APC R2P complements their work by providing the expertise in academic and policy-relevant research on R2P given its pool of research fellows based at UQ/GU and in the region; 2) the Centre is an important link to the Asia Pacific, particularly in enhancing and deepening the engagement between the UN, Association of Southeast Asian Nations (ASEAN), and respective governments in the region on genocide and mass atrocities prevention; and 3) serve as an important hub for coordinating activities as well as knowledge and information exchange between R2P advocates in New York and the Asia Pacific. The Centre's bottom-up strategy in promoting R2P in the region has been recognized by these organizations as an important contribution to building awareness and constituencies around the R2P norm. APC R2P remains committed to further strengthen its

partnership with these organizations in the next three years and ensure coordination of relevant activities.

OSAPG

APC R2P has developed a very close working relationship with the OSAPG in the UN over the past two years. In September 2010, the Centre, together with the ICRtoP, organized a one-day training seminar in Phnom Penh for peace advocates and academia in the region on the work of the OSAPG and genocide prevention. In October 2011, APC R2P also provided assistance to the OSAPG team in organizing a two-day training seminar for government and civil society groups in Manila, Philippines, with Dr. Francis Deng from the OSAPG team. Through the APC R2P's network in the Philippines, Francis Deng was able to meet a number of high level government officials to brief them on the work of the OSAPG. On certain occasions, when members of the management team of the APC R2P are in New York, they also make a point of giving a briefing to Francis Deng and the Special Adviser for R2P, Dr. Edward Luck, on activities of the Centre. It is expected that the OSAPG will continue to coordinate with the APC R2P particularly when they need assistance in research and in organizing training seminars in the Asia Pacific region.

GCR2P

APC R2P has been affiliated with the GCR2P since 2009. Although it is organized autonomously from the GCR2P, APC R2P has maintained strong ties with the latter through collaborative activities in research and outreach, specifically in promoting R2P in the Asia Pacific. The Centre has provided GCR2P with briefings and updates on activities related to country programs in Southeast Asia as well as Track II regional dialogues in conjunction with the Council for Security Cooperation in the Asia Pacific (CSCAP) Study Group on R2P, which is one of the 14 R2P Fund projects. It also provides inputs to policy briefs prepared by the GCR2P, specifically with regard to countries in the Asia Pacific. In February 2012, the APC R2P participated in the preparatory workshop on R2P National Focal Points (NFPs) organized by the GCR2P and Stanley Foundation in Tarrytown, New York and provided inputs to refining ideas and recommendations on NFPs. Both Centres have also co-organized R2P briefings in New York in March and October 2011 by Professor Alex J. Bellamy and Noel Morada, respectively. The Centre and the GCR2P have worked in tandem in promoting their respective activities in various international conferences and workshops on R2P over the last two years. In May 2012, APC R2P is organizing a regional R2P conference in Bangkok and has provided a platform for the GCR2P in the two-day meeting to promote the idea of R2P NFPs. Sarah Teitt, Outreach Director of APC R2P, maintains close contact with the GCR2P staff, in particular with Naomi Kikoler, Senior Adviser and Program Manager of GCR2P. The APC R2P remains committed to sustain its collaborative partnership with the GCR2P and in ensuring an open line of communication between New York and R2P advocates and stakeholders in the Asia Pacific region.

ICRtoP

APC R2P formalized its membership to the ICRtoP in 2010 and accepted the invitation to be a member of its Steering Committee in February 2012. While the two organizations work independently, ICRtoP has worked closely with the APC R2P over the last two years. In September 2010, for example, ICRtoP and the Centre co-organized with Oxfam Australia an

international conference in Phnom Penh, Cambodia on Early Warning for Protection: New Technologies and Practice for Prevention of Mass Atrocities. The conference was followed by a one-day training seminar (in cooperation with the OSAPG) also in Phnom Penh on genocide prevention for leading peace advocates and academics in the region. Ms. Doris Mpoumu, former Director of ICRtoP, joined Noel M. Morada and Sarah Teitt in Manila, Philippines in 2010 for a series of R2P seminars for academe, civil society, and government sectors. Doris presented an African perspective on R2P during the seminar series and explained the role of the African Union (AU) and the Economic Community of West African States (ECOWAS) in dealing with genocide and mass atrocities in the continent. In July 2011, prior to the UN General Assembly Interactive Dialogue on R2P, the Centre supported the ICRtoP's briefing in New York for civil society groups on the role of regional organizations in strengthening R2P by sending one of its International Advisory Board (IAB) members and Thai country program coordinators, Dr. Pranee Thiparat of Chulalongkorn University, to give a presentation on ASEAN. APC R2P continues to provide assistance to the ICRtoP through development of training materials and manuals for developing R2P country programs. Both organizations also actively participate in international conferences and meetings on R2P that promote the role of civil society organizations and non-government stakeholders in advancing the R2P norm.

3.4 PROMINENCE OF CROSS CUTTING THEMES

The second phase will further develop and refine the multiple dimensions of dissemination, which are Discovery-research, Advocacy, Policy-relevance, and Training (DAPT). Each workstream (see section 4) will combine elements of all of them, though in different proportions:

- **Discovery** is focused on research innovation. The agenda for humanitarian protection and conflict prevention is constantly changing. Each new case – even successful ones such as the UN mandated no-fly zone in Libya – brings with it new dilemmas and new diplomatic challenges.
- Academics can play a critical role in **advocacy**, in part due to the trust that is accorded to high performing universities such as UQ and GU. Academic independence and integrity enable R2P scholars to challenge many of the myths associated with the principle and how it operates.
- **Policy-relevance** will be very high on the agenda for the new Centre. It aims to become a one-stop shop for knowledge and analysis of R2P compliance (and risk) in the region providing a resource for decision-makers in government and society.
- The final dimension of dissemination is **Training**. Colleagues in the existing Centre have been at the forefront in securing AusAID tenders for in-Africa training in diplomacy and security. This expertise in the delivery of professional level training has been augmented by the numerous workshops successfully conducted in several Southeast Asian countries.

In addition to the DAPT imperatives for the R2P workstream, there are three over-arching themes:

- 1) **Re-balancing to include more of a Pacific focus.** Several R2P Fund projects have adopted a South Pacific focus; this has not been the case in terms of the core programs of the current Centre. A second agreement would enable a re-balancing of regional priorities without risking the consolidation that has been achieved in the ASEAN sub-region. At the same time, R2P has a global dimension, and the Centre will track how cases and debates outside the region shape what happens within it.
- 2) **Gender.** Research and outreach to date has not adequately focused on the particular risks and resilience of women in situations experiencing or forewarning the four R2P crimes. A second phase of funding would support the Centre to analyse factors that are associated with greater risk of atrocities against women (in particular, mass sexual and gender-based violence), to develop early warning indicators to better inform policymakers of high-risk situations, and to craft recommendations for policy interventions to protect women from mass violence.
- 3) **Resilience.** The goal of a second Agreement between AusAID and APC R2P should include the achievement of resilience by generating local capacity. This can be done by further strengthening local partnerships in-capital, and in the NGO community at large.

4. PROGRAM DESIGN: CONTENT, DELIVERABLES, OUTPUTS, OUTCOMES

The program design for the proposed second phase of the APC R2P builds on previous achievements while adding new dimensions. The Centre's initial thinking is that the new Centre should concentrate on three areas (identified as workstreams) – see subsections 4.1, 4.2, 4.3.

Notice that the staffing resources and events/training budget for each workstream appears in subsection 4.4.

4.1 WORKSTREAM 1: REGIONAL DIPLOMACY AND CAPACITY BUILDING

Stream Leader: Noel Morada (UQ)

R2P, just like other international norms, does not automatically cascade into regions and in the domestic sphere. It needs to resonate and be internalized as part of the process of norm building at various levels. This is especially true in the Asia Pacific where most states still continue to cling to traditional conceptions of sovereignty and remain wary of UN initiatives that call their sovereign independence into question.

The Centre noted three years ago that the region is often perceived as the least open to R2P. However, through the Centre's dialogue and consultation efforts during phase 1 of the Centre's activities, there has been significant development of an informed constituency in support of R2P in the region. In order to **further embed R2P in domestic and regional institutions for long term sustainability**, the Centre has to **sustain and deepen engagement with relevant stakeholders through this critical norm building period**. This is also justified further by the following:

- The need to **respond to growing requests for training and high-level seminars on R2P and mass atrocities prevention** at the national and local/community levels;
- The importance of **national and regional dialogues on issues related to the implementation of the norm, including debate on R2P and regime change**, especially in the aftermath of issues surrounding NATO's intervention in Libya and the ongoing crisis in the Middle East;
- The need to **take advantage of opportunities to mainstream R2P in regional frameworks and institutions** by engaging with the ASEAN Intergovernmental Commission on Human Rights (AICHR) and the ASEAN Institute for Peace and Reconciliation (AIPR); and
- The need to link with the **Pacific Islands Forum (PIF)**, which is already engaged in regional initiatives to address underlying causes of conflict, understand and monitor conflict dynamics and strengthen regional, national and community capacities for conflict resolution.

The Centre's **bottom-up approach in promoting R2P has gained significant attention and support beyond the region**, and partnerships with various organizations and networks will be pursued accordingly by:

- Strengthening the Centre's working relationship with the OSAPG and R2P, particularly in training and capacity building in Southeast Asia and the Pacific;
- Engaging in collaborative academic and policy-relevant research that focus on norm internalization at various levels and **examining the links between R2P and good governance, human security, and gender issues**;
- Expanding the Centre's regional diplomacy and capacity building efforts to cover countries in the Pacific (e.g., Papua New Guinea, Solomon Islands, and Vanuatu); and to engage in outreach activities in more Southeast Asian countries (e.g., Vietnam, Malaysia, East Timor and possibly Myanmar) and in China.
- Deepening the Centre's ongoing engagement in Cambodia, Indonesia, and the Philippines where some progress has been achieved in building awareness about R2P **through institutional partnerships in training and policy-relevant research projects**;
- Building on linkages between potential 'intervening' bodies (particularly but not only Australian military and police forces) with local community-based providers of security across the Pacific Islands region; and
- Initiating dialogue between relevant stakeholders in ASEAN and the African Union (AU) (or relevant sub-regional arrangements) as part of **exchanging ideas and learning from experiences on R2P promotion, conflict prevention, and peace building in the context of regionalism** among diplomats, academia, policy networks, and civil society groups.

Towards the end of the proposed second term of Centre funding, it is expected that regional diplomacy and capacity building in capitals would create a community of R2P champions/advocates from critical sectors following a series of seminars and training in the region. Key indicators of increased R2P awareness and commitment in capitals would include:

- Civil society groups adopting R2P in their advocacy programs, e.g., human rights, peace building, and conflict prevention) and training activities with local communities;
- Academia/think tanks incorporating R2P in teaching and research programs, as well as in developing instructional/training materials.
- Governments deeply engaged in regional and international dialogues on R2P and committed to adopting certain measures to prevent mass atrocities, e.g., incorporating R2P in national security frameworks; creation of national focal points, relevant laws, and institutions protecting human rights; and training programs for diplomats and policy decision-makers.

In the long run, the Centre’s critical contribution towards advancing R2P in the region is through **norm internalization**. This is anchored on the belief that engagement with relevant stakeholders—through seminars and training—will make a significant difference and could **lead to changing attitudes and mindsets** of governments on the importance of preventing genocide and mass atrocities.

Deliverables [see table below]

Project	Rationale	Discovery, Advocacy, Policy, Training
<p>A. National workshops and seminars on R2P</p> <p>Aim:</p> <ul style="list-style-type: none"> To increase the level of awareness among critical stakeholders about R2P and developments related to the implementation of the norm To identify concrete plans of action on how to promote R2P and build domestic constituencies around it To deepen engagement with governments in crafting policy reflecting the R2P principle <p>Countries covered:</p> <ul style="list-style-type: none"> Southeast Asia: Malaysia, Vietnam, Myanmar, Thailand, East Timor Northeast Asia: China Pacific: Vanuatu, Solomon Islands, Papua New Guinea 	<ol style="list-style-type: none"> Long term sustainability requires deeper awareness about R2P among relevant stakeholders in the region, Dialogue on R2P in capital fosters greater willingness of governments to develop national atrocities prevention policies, and participate constructively in regional and international policy dialogue (e.g., UN General Assembly) Dialogue provides an opportunity to develop concrete proposals from regional stakeholders for collaborative training, research, and advocacy on R2P, and therefore is the basis for ensuring local ownership of R2P policy implementation Developing and sustaining a network of R2P champions/advocates increases the likelihood of R2P policy uptake in the region Ensure atrocity prevention research reflects and responds to priorities and concerns of the Global South. 	<ol style="list-style-type: none"> Multi-sector in-country workshops on R2P Workshop reports that provide an overview of discussions, and identify a set of actionable and policy-relevant recommendations on promoting R2P based on commitments made by stakeholders. A series of Policy Briefs that identify relevant issues on capacity building efforts to prevent mass atrocities, and identify a set of recommendations for various sectors on promotion of R2P. Translations of R2P and UN documents into local languages in the Asia Pacific region (based on countries covered). These documents will be uploaded in the Centre's webpage for access by various sectors. Articles from themes arising in workshops for publication in academic journals and as contributions to edited volumes.
<p>B. Training and capacity building</p> <p>Aim:</p> <ul style="list-style-type: none"> To conduct lectures and seminars for diplomats and government personnel on R2P, human rights, gender, and mass atrocities prevention To conduct training of trainers on R2P for various stakeholders To develop training manuals and modules on R2P and mass atrocities prevention for use by various stakeholders in their capacity building and advocacy To translate relevant R2P and UN documents in local languages for use by various sectors 	<ol style="list-style-type: none"> The Centre has received a number of requests for in-depth training on R2P risk assessment and policy development. Collaboratively developing and delivering intensive training curriculum contributes to government capacity to develop tools and mechanisms for mass atrocities prevention A network of national and regional R2P trainers is needed to respond to government requests and ensure the appropriateness and sustainability of training programs 	<p>In collaboration with the UN OSAPG and local partners in countries covered, the Centre will:</p> <ol style="list-style-type: none"> Develop training manuals and modules for use by various domestic stakeholders on themes such as: preconditions for genocide and mass atrocities; early warning systems; genocide prevention; gender and R2P; human rights protection; conflict prevention, peace building, and peacekeeping. Commission and disseminate translation of core R2P documents and training manuals and modules into local languages as appropriate. Deliver context-appropriate intensive training

Project	Rationale	Discovery, Advocacy, Policy, Training
<p>B. Training and capacity building contd.</p> <p>Countries covered. Southeast Asia: Malaysia, Vietnam, Myanmar, Thailand, East Timor, Cambodia, Indonesia, Philippines, and Thailand. Northeast Asia: China. Pacific: Vanuatu, Solomon Islands, Papua New Guinea</p>		<p>programs on atrocities prevention and response to foreign service institutes in the region.</p>
<p>C. ASEAN-African Union dialogues</p> <p>Aim:</p> <ul style="list-style-type: none"> • To promote exchange of ideas and learning experiences specifically in the areas of genocide and mass atrocities prevention, conflict prevention, peace building and peacekeeping • To develop a network of relevant stakeholders in Southeast Asia and Africa who will engage in collaborative academic and policy-relevant research in the above areas • To foster long-term engagement between regional bodies that would contribute to enhancing the role of regional arrangements in preventing genocide and mass atrocities, as well as in enhancing partnership between the UN and these regional bodies <p>Relevant regional bodies in ASEAN and Africa or AU</p>	<ol style="list-style-type: none"> 1. Cross-regional dialogues facilitate building of shared knowledge and information about the role of regional organizations/arrangements in strengthening R2P. 2. The Centre's country programs could be a useful template for some African countries in promoting the bottom-up approach in building awareness and constituency around R2P. 3. States and non-state actors across these regions could learn from common and unique experiences in developing frameworks and mechanisms for preventing genocide and mass atrocities. 	<ol style="list-style-type: none"> 1. Regional dialogues between ASEAN and AU (one in Southeast Asia in 2013 and another in Africa in 2014). 2. Publication of articles in refereed journals based on dialogues between ASEAN and AU countries based on the two meetings in 2013 and 2014. 3. Publication of policy briefs online based on these meetings, focusing on actionable policy recommendations.

4.2 WORKSTREAM 2: PREVENTION OF GENOCIDE AND MASS ATROCITIES

Stream Leader: Sara Davies (GU)

Project 1. ASEAN and the Prevention of Mass Atrocities - Facilitating Regional Engagement

The CSCAP Study Group on R2P supported by phase 1 identified a **regional consensus on the R2P principle and pathways to implementation by regional arrangements**. Key among its recommendations were calls for strengthening regional capacity in early warning and assessment; preventive diplomacy; deepening the partnership between the UN and ASEAN. Using the Study Group report as its starting point, **this project will facilitate engagement between ASEAN, its members and the UN (especially the Joint Office) aimed at forging ‘anticipatory relationships’ and beginning the work of translating some of these recommendations into practice**. Since the introduction of the ASEAN Charter, there is growing evidence that regional engagement with R2P is likely to become stronger. Not least, ASEAN’s Political and Security Community, the AICHR, the emerging Indonesian-led Institute for Peace and Reconciliation and the Association’s diplomacy with regards to Myanmar and the Thai-Cambodian conflict offer opportunities for developing regional capacities for implementing R2P. This project will facilitate dialogue amongst officials from ASEAN members and the UN about potential pathways for implementing R2P in the region and deepening region-UN relations.

The project will proceed in two stages. In the first, the Centre will facilitate engagement by preparing a background paper detailing the CSCAP Group’s findings, developments within ASEAN in cognate areas, and the work of the UN on implementing R2P. This paper will identify areas of commonality as a basis for further dialogue. It will be used to frame an initial regional workshop facilitated by the Centre, comprising officials acting in a non-official capacity from ASEAN member states and UN officials. On the basis of this dialogue, the Centre will develop a mapping paper identifying some potential pathways for strengthening the region’s capacity for preventing genocide and mass atrocities in partnership with the UN. This will be circulated to stakeholders and will guide a second workshop with the same group of stakeholders. The end product will be a final report identifying a consensus among the group about pathways for building preventive capacity in the region that will establish a basis on which to begin moving towards implementation.

The key deliverables will be a ‘background paper’, ‘mapping paper’, ‘final report’ and two workshop reports. The primary outcomes will be the establishment of a de facto network of officials engaged in dialogue about: the prevention of genocide and mass atrocities; the inclusion of UN officials within that network; the establishment of a shared commitment to preventing genocide and mass atrocities; understanding of the challenges of implementation; and the identification of a clear practical pathway to implementation that enjoys the support of the group as a whole.

Project 2: Early Warning of Sexual and Gender Based Violence (SGBV): Bringing an International Peace and Security Focus to SGBV

This project will develop and test an early warning framework of SGBV to identify locations where these crimes are at risk of becoming widespread and systematic. The project has two

aims – firstly, to determine what preconditions lead to one conflict being at higher risk of *widespread and systematic* SGBV (widespread and systematic is the precondition for SGBV to be identified as one of the four R2P crimes). The second aim of the project is to understand what preventative tools at the state, regional and international level decrease the risk of widespread and systematic SGBV. The **gender specific relevance of the four R2P crimes has been neglected by the literature and in policy practice**, with some notable exceptions (especially, Australian and US efforts to incorporate Security Council Resolution 1820 into defence, foreign policy and foreign aid). **This project will identify factors associated with heightened risk of mass atrocities against women and examine how heightened risk becomes actualised mass atrocities, as well as the sources of resilience to that risk.**

This project is important because: (1) Preventive work, whether international or domestic, is more likely to succeed when it is targeted at a particular problem. The risk of systematic and widespread gender-based violence is still not always demonstrated in generalised risk assessments of armed conflict or mass atrocities, meaning that there is often little done to specifically prevent the commission of these crimes; (2) Early warning needs to be prefaced on reliable information and we do not yet have a consistent historical knowledge of what sort of factors or data relates to heightened risk of systematic violence against women; (3) The proposed case study analysis will enable the project to understand domestic and regional sources of risk or resilience which can help foreign donors to target specific problems and support specific sources of local resilience, making aid more effective.

This project will develop and test an early warning framework for widespread and systematic SGBV in two stages. First, building and testing, mainly by quantitative means, a risk assessment framework that identifies areas of heightened risk. Second, conducting case studies of countries thought to be at high risk in order to explain why some high-risk countries experienced these crimes whilst others did not.

Key deliverables for this project will be a series of datasets of factors associated with heightened risk, published on the Centre’s website; annual risk analysis based on the framework; a series of articles and working papers outlining the risk assessment framework, the results of the dataset testing, and case studies. The project will also produce a final report (and subsequent) monograph bringing these outputs together. The project will work in partnership with the Joint Office, the UN Women Office and the US DoD Women Peace and Security-MAPRO (Harvard) project on implementing resolutions 1820 and 1960. It will establish a partners group comprised of people from these entities and the group will be consulted about the project’s design, its findings, and the dissemination of results to ensure that its end-products are tangible and usable. The project will conduct consultations throughout the project and two key workshops – the first detailing the project and ensuring stakeholders participation in the development of the early warning system. The second and final workshop will be conducted in cooperation with the Joint Office and the Special Representative of the Secretary General (SRSG) for Sexual Violence in Armed Conflict to explore how the findings from the project (predictive early warning system and case study analysis) may inform existing policy and funding objectives of UN offices, donor states, regional organizations and states to prevent and mitigate mass atrocities against women, and to support local sources of resilience.

Deliverables [see table below]

Project	Rationale	Discover, Advocacy, Policy, Training
<p>A. ASEAN and the Prevention of Mass Atrocities</p> <p>Aim Facilitate dialogue amongst officials from ASEAN members and the UN (Joint Office) about potential pathways for implementing R2P in the region.</p>	<ol style="list-style-type: none"> 1. Deepen ASEAN-UN relations. 2. Establish shared commitment to prevent genocide and mass atrocities in the region. 3. Exchange experiences on the challenges of R2P implementation. 4. Identify clear practical pathway to implementation that enjoys the support of the group as a whole. 5. Build preventative capacity and R2P implementation ownership within ASEAN as a model for other regional organizations. 	<ol style="list-style-type: none"> 1. Background paper, for publication on the APC R2P website with AusAID, Centre, UQ and GU branding; will also be reworked as an article for <i>Security Dialogue</i>. 2. Workshop (early 2013) within ASEAN member state. Location: possibly Indonesia, (in recognition of their initiative to host Peace and Reconciliation Institute). 3. Paper for R2P and ASEAN outlining 1st workshop progress, published on the APC R2P website with AusAID, Centre, UQ and GU branding; will also be reworked as an article for <i>Ethics and International Affairs</i>. 4. Workshop (early 2014). Location: within ASEAN member state (invitations will be sent to members to host the second workshop). 5. Second paper detailing findings of facilitation engagement at conclusion of second workshop, published on the APC R2P website with AusAID, Centre, UQ and GU branding. 6. A final article examining the facilitation process, and meaning for R2P in the region will be submitted to <i>International Security</i>.
<p>B. Preventing SGBV Mass Atrocities</p> <p>Aim Develop framework for early warning and assessment of widespread and systematic SGBV. Identify factors associated with heightened risk of <i>mass atrocities involving sexual violence</i>, map preventative tools.</p>	<ol style="list-style-type: none"> 1. Gender specificity of the four R2P crimes has been neglected by the literature and in policy practice. 2. United Nations Security Council (UNSC) Resolution 1960 calls for more research into early warning indicators that predict situations of high risk of mass sexual violence. 3. Understanding risk, allows for better coordination to prevent; which is always more desirable (and may be more feasible) than protection. 	<ol style="list-style-type: none"> 1. Special Issue, 'Engendering Women', <i>Global Responsibility to Protect</i>, 4(2) 2012. 2. Background paper exploring rationale of early warning system for sexual violence, for publication on the APC R2P website with AusAID, Centre, UQ and GU branding; will also be reworked as an article for <i>Journal of Peace Research</i>. 3. Workshop with stakeholders (mid 2013). Location: New York (due to most stakeholders being based in New York and Washington). 4. Publication of indicators paper detailing findings and implications of developing early warning system for mass sexual violence (APC R2P website); also as an article for <i>International Studies Quarterly</i>. 5. Case study fieldwork and publications associated with findings. At least one event and one non-event per region (5 regions). Approximately 8 articles to appear detailing the case findings. This output will have multiple authors associated with the case study research and will span the remaining time of the project (i.e. 2014-2015). 6. Policy implications papers (2) (mid 2015): one paper exploring utility of early warning system for mass sexual violence; additional paper exploring the preventative role of states, regional communities and international community in preventing mass sexual violence. Both papers published on the APC R2P website; in addition, first paper will be prepared for <i>International Affairs</i> and second paper will be prepared for <i>Journal of Genocide Research</i>. 7. Second and final workshop informed by above papers (Late 2015). Location: New York. 8. Submission of ARC Discovery Project application for additional funding (most likely 2013 submission for 2014 funding). 9. Manuscript with university academic press detailing the study and findings of this project.

4.3 WORKSTREAM 3: DOCTRINE, CONCEPTS AND INTER-AGENCY COORDINATION

Stream Leader: Tim Dunne (UQ)

2011 has been a milestone for R2P. The principle has been materially important in shaping missions in Cote d'Ivoire and Libya. The UN's adoption of resolutions authorising these missions show the conceptual advance of R2P, but the controversies over how the missions have been carried out reveal ongoing contestation about how R2P ought to be applied in practice. In particular, NATO's action in Libya has raised concern among Security Council members on the relationship between R2P and regime change. Brazil's recent concept note on 'responsibility while protecting' calls for enhanced measures to exhaust peaceful means to protect civilians from mass violence, and outlines the need to develop procedures to monitor and assess the manner in which Security Council resolutions are interpreted and implemented, particularly when force is authorized. While guidelines cannot overcome disagreement among major powers, they can help introduce incremental changes to decision-making to outline what evidence is needed to determine credible threat, what analysis should be undertaken to justify that enforcement measures are a necessary last resort, and to delineate guidelines for overseeing responses to imminent atrocities.

Projects

There will be two particular dimensions to this workstream – one that aims to develop a set of **guiding questions and procedures to assess credible risk of imminent atrocities** and appropriate oversight measures for policy interventions at the UN, and the other aims to **map institutional developments in atrocities prevention at the state level**.

(i) R2P Guidelines and Resources

2011 reminded the world that 'timely and decisive' reaction, even against the wishes of the host state, is integral to R2P. Prevention can fail: the behaviour of some governments – and organised groups – can be sufficiently deviant so as to render the tools of prevention ineffective.

The backlash among some states against the operations in Cote d'Ivoire and Libya has been evidenced in the debates that have taken place inside the UN Security Council in response to the ongoing crisis in Syria. There is still much debate and disagreement about the status of R2P, not least among countries that are directly and indirectly influential in this region.

Russia, India, Brazil and China – all global powers - have been particularly outspoken, and there are reasons for thinking that diplomacy on R2P with states in the region may also be more difficult in the wake of the interventions of 2011. Further conceptual development is needed to establish not only when Pillar 3 action is justified but also *how* forcible action should be conducted. Influential advocates of the principles, such as the Honourable Gareth Evans AO, would like to see guidelines developed for how the Security Council implements and monitors R2P resolutions.

A related set of questions around R2P rules and resources concerns:

- (i) The normative question about how responsibilities are distributed in the international order (the Permanent 5 in the UNSC, leading regional powers, small states)?
- (ii) R2P is about preventing atrocity crimes; but what also is required in relation to punishment for atrocities? Increasingly referral to the International Criminal Court (ICC) is being used by the UNSC as a tool of prevention or deterrence: what evidence is there to suggest this is a successful strategy?
- (iii) The mandate 'gap'. The no-fly zone mandate in Resolution 1973 provoked criticism inside the UNSC at the time – and outside during and after the action – for the way in which there was too much indeterminacy in the mission.
- (iv) Further analysis of the convergences - and tensions – between R2P and the protection of civilians framework that has evolved inside the UN order.
- (v) The power of regions. A critical evolution in the R2P framework is the growing importance attached to regional leadership. This raises challenging questions for the Asia Pacific – which is traditionally more used to bilateralism than multilateralism in its institutional ordering.

Here researchers need to confront questions about legitimacy that remain unanswered in relation both to use of force considerations and the conduct of operations.

ii) Mainstreaming Atrocity Prevention in Government Agencies

Almost two decades since Rwanda, the United States government now acknowledges that it lacks a comprehensive policy framework for preventing and responding to mass atrocities and genocide. The latest phase in plugging this policy gap is the Presidential Study Directive (PSD 10) announced by President Obama in August 2011.

The centrepiece of PSD 10 is the creation of an Atrocity Prevention Board (APB). This signals that atrocity prevention has been internalized as a core objective of US foreign policy at the highest levels of the current administration. As humanitarian emergencies evolve, an APB should be designed to ensure that atrocity prevention does not fail because of competing agency interests; moreover, by situating the APB in the National Security Council (reporting directly to the President), it aims to ensure that risk receives high-level attention.

This workstream will track US policy formulation on APB and seek to draw lessons for the Asia Pacific region. It is important to note here that President Obama has directed the US government to work closely with its allies in formulating a coordinated strategic response to mass atrocity prevention. There is much work to be done in translating this US-led initiative into strategies and planning appropriate for Australia as a leading regional power, not to mention evolving ASEAN Regional Forum (ARF) thinking on regional security institutions.

In parallel to this institutional reconfiguration being undertaken in the US is a move among major military powers to improve the operational dimensions of coercive humanitarian assistance or intervention (where there is no host state consent). It is likely that new humanitarian 'manuals' will evolve during the decade – a process initiated by General Petraeus in Afghanistan. Tracking these shifts, and thinking through their implication for the Asia Pacific is central to this workstream.

Deliverables [see table below]

Project	Rationale	Discovery, Advocacy, Policy, Training
<p>A. Guidelines and Resources</p> <p>Aim Identify areas of concern on Pillar 3 action. Develop guidelines for decision-makers to determine credible risk of atrocities. Identify procedures for monitoring intervention policies.</p>	<ol style="list-style-type: none"> 1. NATO's action in Libya has raised concerns about enforcement action, yet there is no comprehensive, detailed analysis of the particular concerns being voiced by emerging powers. 2. States are more likely to agree to future enforcement missions if their concerns are reflected in leading research programs and policy development; therefore, it is necessary to critically assess the legitimacy, efficacy and unintended consequences of recent missions. 3. Policy guidelines have not developed at the same rate as risk analysis, and policy should better reflect recent research on risk assessment and early warning indicators. 	<ol style="list-style-type: none"> 1. Article on 'R2P Revisionism?' by emerging great powers during and after Libya. Target journal: <i>Global Governance</i> (or equivalent A ranking journal) 2. Article on NATO decision-making in relation to the Libya no-fly zone. To be co-authored with NATO specialist at the Danish Institute of International Studies. Target journal: <i>Survival</i> or <i>Security Dialogue</i> (or equivalent A ranking journal) 3. Article comparing NATO interventions in Kosovo and Libya. Target journal: <i>Review of International Studies</i> or <i>International Studies Quarterly</i> (or equivalent A or A* ranking journal) 3. Policy brief linking risk assessment and early warning indicators with response measures and guiding questions for decision makers. 4. Policy roundtable on guiding questions, including desk exercise for applying these to situations indicating high risk of imminent atrocities (2 roundtables, late 2013 (New York), 2014 (Jakarta or Beijing)) 5. Publication of final policy brief and guiding principles. Distribution to Australian Government agencies, and government bodies in the Asia Pacific. 6. Concept papers at international conferences, additional to those noted above, foregrounding publication in leading (A and A* journals).

<p>B. Mainstreaming Atrocities Prevention in Government Agencies</p> <p>Aim: Develop conceptual map of whole-of-government approach to atrocities prevention. Identify areas for strategic coordination between the US, its allies and regional leaders.</p>	<ol style="list-style-type: none"> 1. Whole-of-government approaches to atrocities prevention are required to link risk analysis to long-term preventive action through economic assistance and institutional capacity building. 2. The US Government has the most comprehensive approach to date on whole-of-government approach to atrocities prevention, which could provide lessons for other states, particularly emerging regional and global powers. 	<ol style="list-style-type: none"> 1. Concept note mapping a whole-of-government approach to atrocities prevention (cross-cutting issues and agencies involved). 2. Policy brief analysing US atrocities prevention and strategic coordination with Australia and Asia Pacific states and regional organisations. 3. Article for submission in early 2012 on America's support for atrocity prevention. Target journal: <i>Ethics and International Affairs</i> (or equivalent). 4. Developing a 'teaching case' for graduate courses in international security and diplomacy 5. Book manuscript for Oxford University Press that tracks the diplomacy of responsibility – looking at inter-governmental, regional, and state-based institutions
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4.4 STAFFING RESOURCES PER WORKSTREAM

The table below summarises the staffing resource allocated across the three workstreams (4.9 FTE of staffing in total).

It needs to be read in conjunction with the outline budget in **section 7** that properly costs the staffing lines.

	Workstream 1 (FTE)	Workstream 2 (FTE)	Workstream 3 (FTE)
Proposed stream leader	Noel Morada, Senior Researcher (1.0)	Sara Davies, Senior Researcher (0.8)	Tim Dunne, Professorial Researcher (0.5)
Proposed co-researchers	Sarah Teitt, Researcher (0.5)	Alex Bellamy, Professorial Researcher (0.1); Sarah Teitt Researcher (0.5)	Jocelyn Vaughn, Post-doctoral researcher (0.8); Heather Rae, Senior Researcher (0.5)
Cross-cutting researchers	Luke Glanville, Researcher, Journal Editor and Publications Officer (0.2)		

5. ADDITIONAL ACTIVITIES

Over and above the three workstreams, the Centre will provide the following services to its stakeholders:

- Technical assistance, where required, to the Australian Department of Foreign Affairs and Trade (DFAT) and AusAID, in particular AusAID's new 'Protection Unit'.
- Collating and disseminating R2P news items; including continuing the new Centre Facebook page and the R2P student coalition social media sites.
- Running the only dedicated R2P journal – led by GU colleagues but funded through the Centre.
- Engagement with influential advisors to the Centre.
- Continuing to work closely with the Global Centre in New York, and the International Coalition.
- Training of future researchers through PhD supervision, internships, and graduate training – none of them explicitly costed in the budget.
- Accommodating visiting scholars, researchers, and R2P advocates.
- Assistance to other Australian government institutions, including diplomatic networks.

- Lead UQ/UniQuest training programs funding through the Australian Awards for Africa fund.

6. CENTRE GOVERNANCE

Phase 2 of the Centre's existence requires restructuring among the leadership team. The critical revision is to build-in a co-director leadership model that allows for shared responsibility for different aspects of the Centre's work.

There are two drivers of this change: a) the fact that *all* senior academics resourced through phase 2 funding are primarily engaged in producing outcomes for the Centre – across discovery, advocacy, policy and training; for this reason, it is not envisaged that any of the Centre's academic staff will be required to spend significant amounts of time on strategic or operational matters b) the re-configuration of the Centre enables the return of Professor Bellamy into a co-director role, and for the current Executive Director (Dr Morada) to focus on the external and regional portfolio (a domain of considerable achievement during phase 1). Meanwhile, Professor Dunne will continue to be Director of Research as well as having strategic oversight of the Centre, and the UQ-AusAID partnership with responsibility for staffing, deliverables and reporting.

A brief outline of responsibilities of the co-directors, Centre manager, deputy-director, and GU coordinator, all feature below (100% allocated to the Centre unless stated otherwise). These five positions constitute the management team of the Centre:

Director (Research) Professor Dunne, UQ. 0.5 FTE of position dedicated to Centre

- Reporting to Head of the School of Political Science and International Studies (POLSIS) and the Executive Dean of the Faculty of Social and Behavioural Sciences (SBS); other key University stakeholders such as UniQuest, and Deputy Vice-Chancellor (DVC) International.
- Research performance, mentoring, monitoring, strategy.
- Chair of Centre management team.
- Centre UQ staff line management and chair of appointment panels (delegated authority from the Executive Dean).
- Lead academic for AusAID reporting, evaluation, and resourcing.

Director (International) Professor Bellamy, GU. 0.1 FTE of position dedicated to Centre

The current funding allocation for Professor Bellamy is below the level of his status (as co-director) and anticipated involvement; APC R2P acknowledges that a contribution above 0.1 FTE would entail further material support for the Centre's activities by GU.

- United Nations and especially the Joint Office on the Prevention of Genocide

and R2P.

- Engagement with other regional hubs, especially Africa, Middle East and Europe.
- Collaboration with governments.

Director (Regional Engagement) Dr Morada, UQ

- Reporting to IAB.
- In-capital training in ASEAN.
- Regional collaborative policy-research and training projects.
- Cross-regional dialogues, particularly through UQ international diplomacy training programs.
- Lead drafter on Centre annual reports.
- Coordination with Global Centre and International Coalition for the Responsibility to Protect (ICRtoP) activities across the non-governmental sector.

GU Coordinator and Senior Researcher, Sara Davies, UQ. 0.8 FTE of position dedicated to the Centre

- Line manager to GU staff involved in the Centre.
- Coordinator of Centre activities as they converge with Griffith Asia Institute.
- Lead academic in capacity building on the GU side of the Centre.
- Co-editor of journal *Global R2P*.

Deputy Director (Training) and Researcher, Sarah Teitt, UQ

- In-capital training in ASEAN.
- Contributor to UQ POLSIS International Diplomacy program (short course awards).
- Collaborator with leading atrocity prevention bodies in the US.
- Coordinator among Australian NGOs delivering convergent training.
- Lead academic coordinator of student R2P coalition (started at UQ but now a national presence).
- Coordinator of internships.

Centre Manager, Marie Hobman, UQ

- Manager of Centre facilities.
- Key contact for stakeholder communication.
- Manager of all aspects of the Centre's Finances, Human Resources and Travel.
- Assistant to co-Directors in preparing Centre documentation and materials.
- Coordinator of other UQ professional support eg IT, website, infrastructure, marketing.
- Plan and manage events.

For an outline organizational plan, see Appendix I. Short CVs of the named research staff appear in Appendix II.

6.1 Centre Staffing

The biggest institutional asset is the human resource provided by a skilled and dedicated workforce. Those named in this phase 2 document are all proven researchers with relevant and high quality outputs; in our view, one of the great achievements associated with phase 2 of the Centre is that we now have a staffing resource base that is experienced and very well connected. Nevertheless, we can provide assurances that the proposed staff for phase 2 are ideally suited to meet the aims of the Centre, and that the staff footprint has been **strategy-led** rather than being led by a concern about retention.

It should also be noted that UQ's recruitment policies allow for an exemption to the usual process of selection where 'Staff members that are identified for a position in the research funding application can be recruited without advertising'.

7. BUDGET AND FINANCIAL COMMENTARY

A second round of funding from AusAID for the continuation of APC R2P for another three years will allow both the Centre and Australia to expand and consolidate its research, training, and engagement within the Asia Pacific. In order to support a diversification and continuation of the Centre's efforts, the Centre requires **\$4,261,631** over the next three years to meet the program plans outlined in this proposal. A summary of the budget items is outlined below at Table 1:

Additional funding from AusAID of **\$2,000,000** would provide the Centre with the funds necessary to continue the Centre's activities.

While this additional funding figure exceeds what we were given in the initial Agreement, three things need to be born in mind:

- **Staff capacity:** In phase 1, there were 5.6 FTE of staff resource; in phase 2 there will be 4.9 FTE funded through the proposed AusAID/UQ partnership agreement. Additional staff will be recruited through grant funding, such as ARC Discovery and Linkage applications, including possible ARC linkage application. Diversifying funding streams is a critical priority for the Co-Directors from the outset of phase 2. To this end, the Centre has made a 1 year hire (Charles Hunt: 26 March 2012 – 25 March 2013) to assist with training, on the basis of successful contracts to deliver courses on the basis of the Australian Awards for Africa scheme. We expect Charles Hunt to be extended into a 2nd year; meaning that for the first half of the second agreement, our staffing footprint is 5.9 FTE (marginally higher than phase 1).
- **Enhanced leadership:** By funding Professor Bellamy at 0.1 FTE and Professor Dunne at 0.5 FTE, there will be additional diversification of senior professorial leadership allocated to the Centre (though Bellamy, Dunne, Morada, will all primarily be tasked with deliverables within each workstream).

- In terms of staffing strategy, it is anticipated that we will be hiring a combination of experienced R2P researchers/trainers/advocates, alongside recent PhD graduates: all recruitment to phase 2 will be undertaken in accordance with UQ and GU human resource guidelines and policies.

UQ is committed both to the continuation of the Centre, as the submission by the Executive Dean to the mid-term review report made clear. UQ wishes to show its ongoing commitment to the Centre through a contribution to the Centre of \$2,261,631. This includes the funding of; a Level E professorial researcher (0.5 FTE); two post doc positions (0.8 FTE and 1.0 FTE); a fractional researcher position (0.5 FTE); and replacement IT systems and in-kind support in the form of facilities and infrastructure.

In addition to the funding support outlined in the summary budget, the Centre will continue to support POLSIS in its work with AusAID in conducting in-country training in diplomacy and security, especially in Africa and the South Pacific.

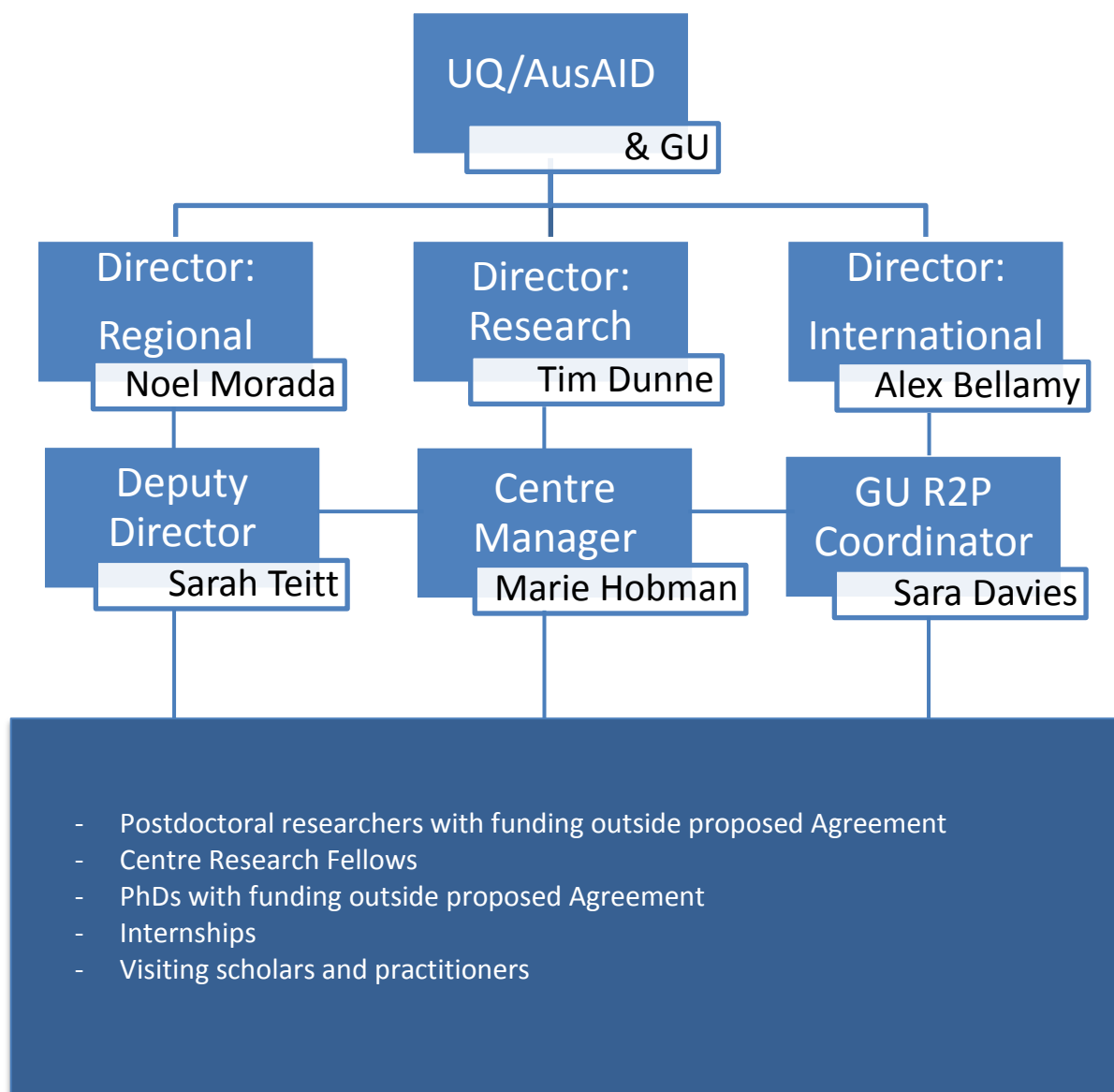
It will also be a goal of the Centre to leverage the funding provided over the next three years to secure additional research funds via traditional grant mechanisms, such as ARC grants (details embedded in **section 4**).

The combined contribution of AusAID and UQ to the ongoing support for the Centre over the next three years will help to maintain Australia's position as a champion of regional and global efforts to develop fully the standards, tools and practices that are needed for R2P to succeed.

7.1 Table 1: Budget for funding request and matching UQ funds.

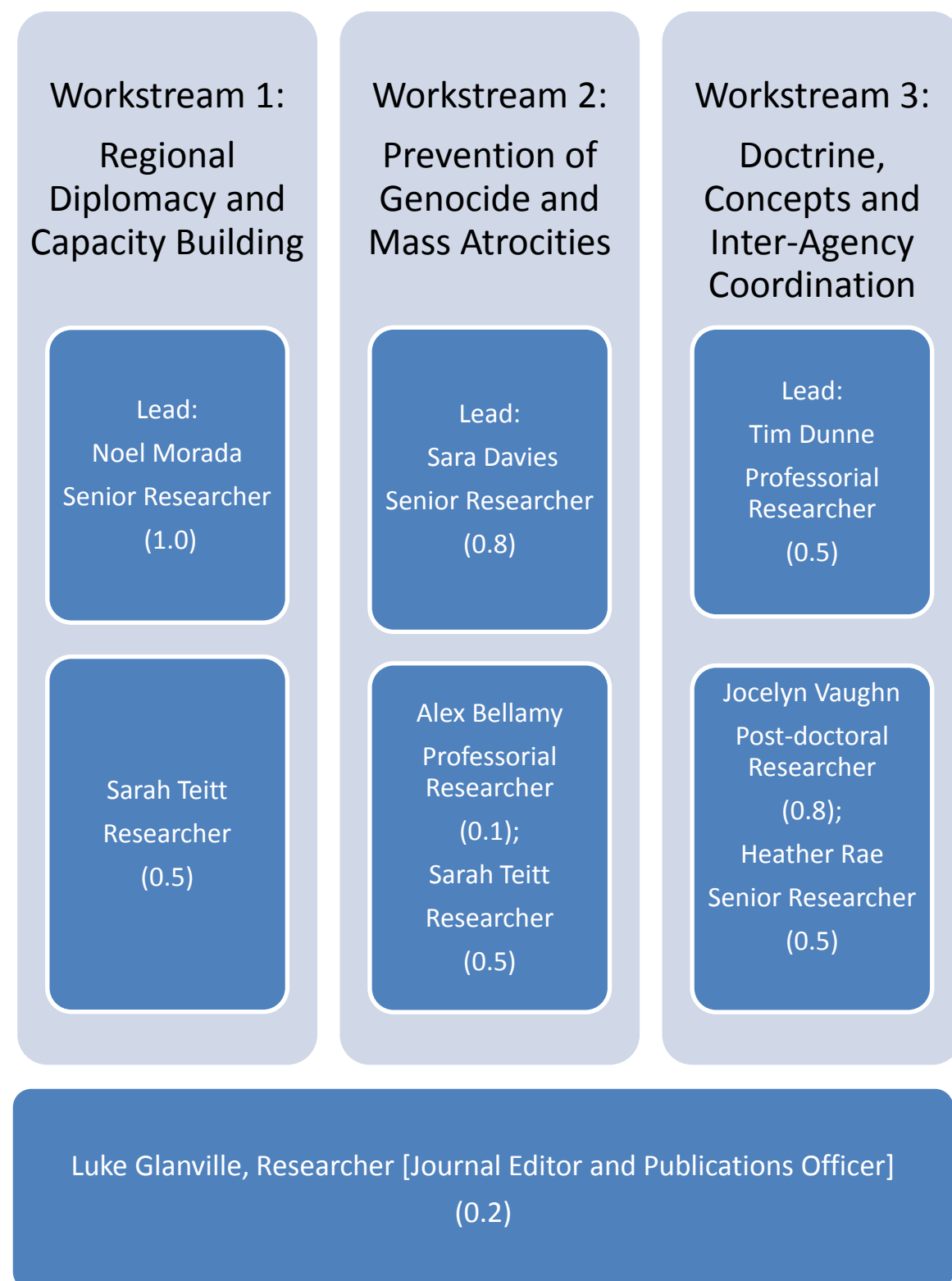
R2P AusAID Core Business Budget 1 July 2012 - 30 June 2015	%	2012 6 months	2013	2014	2015 6 months	Total
AusAID – Funding Request						
Salaries						
Program Director Workstream 1	100%	\$66,211	\$138,043	\$143,156	\$73,850	\$421,260
Program Director Workstream 3	50%	\$48,385	\$100,878	\$104,213	\$53,968	\$307,443
Program Director Workstream 2	80%	\$0	\$69,724	\$107,504	\$55,672	\$232,900
Professorial Researcher – Workstream 2	10%	\$9,714	\$20,176	\$20,923	\$10,835	\$61,647
Researcher Level B – Workstream 1 & 2	20%	\$10,950	\$22,830	\$23,676	\$12,214	\$69,670
Centre Manager	100%	\$49,503	\$103,210	\$107,033	\$55,215	\$314,961
Journal Ed & Publications Officer – Workstreams 1, 2 & 3	20%	\$10,186	\$21,156	\$21,940	\$11,362	\$64,644
Non-Salary						
Workshops/Conferences/Seminars/ Training		\$9,475	\$70,825	\$70,825	\$8,350	\$159,475
Marketing		\$5,000	\$5,000	\$7,000	\$5,000	\$22,000
Consumables		\$8,000	\$20,000	\$20,000	\$8,000	\$56,000
Travel		\$25,000	\$110,000	\$120,000	\$35,000	\$290,000
TOTAL FUNDING REQUEST		\$242,424	\$681,842	\$746,269	\$329,465	\$2,000,000
The University of Queensland - contribution						
Program Director Workstream 3	50%	\$48,385	\$100,878	\$104,213	\$53,968	\$307,444
Researcher Level C – Workstream 3	50%	\$34,061	\$70,741	\$73,361	\$37,991	\$216,154
Researcher Level B – Workstream 1 & 2	80%	\$43,801	\$91,321	\$94,703	\$48,855	\$278,680
Post Doc – Workstream 3	80%	\$36,059	\$74,892	\$38,833	\$0	\$149,784
Equipment		\$10,000	\$2,000	\$1,000	\$0	\$13,000
UQ Total Cash Contribution		\$172,305	\$339,832	\$312,111	\$140,813	\$965,061
UQ In-Kind Contribution		\$209,161	\$443,460	\$436,679	\$207,270	\$1,296,569
UQ TOTAL CONTRIBUTION		\$331,466	\$783,292	\$748,789	\$348,083	\$2,261,631
FULL COSTING		\$623,890	\$1,465,134	\$1,495,059	\$677,548	\$4,261,631

APC R2P Organisational Chart



APC R2P Workstream Staffing

All positions listed below funded directly by proposed AusAID/UQ Agreement for Phase 2



Curriculum vitae

Name: Alex Bellamy

Current Positions:

- Professor of International Security, Griffith Asia Institute/Centre for Governance and Public Policy, Griffith University, Australia.
- Honorary Professor of International Relations, The University of Queensland.
- Fellow of the Academy of Social Sciences in Australia.

R2P Related Service

- Founding Executive Director, Asia Pacific Centre for the Responsibility to Protect (2007-2010).
- Co-Chair, Council for Security Cooperation in the Asia Pacific (CSCAP) Study Group on the Responsibility to Protect.
- Non-resident Senior Advisor, International Peace Institute, New York
- Co-editor, *Global Responsibility to Protect*.
- Co-editor, Routledge book series on the Responsibility to Protect and Global Politics.

Citations by UN Secretary-General

- Book *Responsibility to Protect* cited in the first Secretary-General's report on the implementation of R2P (2009).
- CSCAP Study Group commended by the Secretary-General in his third report on the implementation of R2P (2011).

Other Editorial and Advisory Positions

- Associate Editor, *Journal of Military Ethics*.
- Editorial Board Member, *Ethics and International Affairs* (journal of the Carnegie Council on Ethics and International Affairs, New York).
- International Advisory Board Member, *International Affairs* (journal of the Royal Institute of International Affairs, London).
- Editorial Board Member, *Civil Wars*.
- Editorial Board Member, *Journal of Intervention and Statebuilding*.
- Advisory Board Member, PRIO (Oslo) project on liberal peacebuilding.
- Member, Red Cross International Humanitarian Law Committee (Queensland)
- Member, Readers Group, UNDP project on Measuring Fragility and Conflict.

Research Excellence Awards

- 2004 - Academy of Social Sciences in Australia award for early career research.
- 2008 - British International Studies Association Award for the Best Article published in the *Review of International Studies*.
- 2008 - Political Studies Association Award for the Best Article published in the *British Journal of Politics and International Relations*.

Key R2P Related Books:

- *Massacres and Morality: Mass Killing in an Age of Civilian Immunity* (Oxford University Press, accepted for publication October 2011, in press, published in 2012).
- *Global Politics and the Responsibility to Protect: From Words to Deeds* (London: Routledge, 2011).
- *Understanding Peacekeeping* (with Paul D. Williams) (Polity Press, second edition, 2010).
- *Responsibility to Protect and International Law* (edited with Sara E. Davies and Luke Glanville) (The Hague: Martinus Nijhoff, 2010).
- *Responsibility to Protect: The Global Effort to End Mass Atrocities* (Cambridge: Polity, 2009).

Name: Alex Bellamy, continued

Research Funding (Selected):

- 2004. Australian Research Council Discovery Grant on Security Sector Reform in Southeast Asia. Worth \$85,000 over three years.
- 2005. Australian Research Council Discovery Grant on the Regionalisation of Peace Operations. Worth \$195,000 over three years.
- 2007. Grant from the Australian Federal Police on Success Measures for Overseas Policing Missions. Grant administered through the UQ Social Research Centre, Alex Bellamy initially Project Director. Initially worth \$800,000 over four years.
- 2008: Australian Research Council Discovery Grant on the Early Warning of Genocide and Mass Atrocities. Worth \$350,000 over three years

Curriculum vitae

Name: Sara Ellen Davies
Position: Senior Research Fellow, Griffith Asia Institute, Griffith University.

Books

Legitimising Rejection: International Refugee Law in Southeast Asia, Refugees and Human Rights Series Volume 13 (Leiden: Martinus Nijhoff, 2008).

Global Politics of Health. (Cambridge: Polity Press, 2010).

Edited Books

Alexander Bellamy, Roland Bleiker, Sara E. Davies and Richard Devetak (eds.), *Security and the War on Terror* (Routledge, 2007).

Sara E. Davies and Luke Glanville (eds.), *Protection of the Displaced: Deepening the Responsibility to Protect* (Martinus Nijhoff/Brill, 2010).

Alex J. Bellamy, Sara E. Davies and Luke Glanville (eds.), *Responsibility to Protect and International Law* (Martinus Nijhoff/Brill, 2011).

Articles (10 Best)

1. 'The Asian Rejection? International Refugee Law in Southeast Asia', *Australian Journal of Politics and History*, 52:4, 2006.
2. 'Did the UNHCR Succeed or Fail? Seeking an Answer to the 1967 Protocol', *International Journal of Refugee Law*, 19:4, 2007.
3. 'Securitizing Infectious Disease', *International Affairs*, 84:2, 2008.
4. 'Why the 1989 Comprehensive Plan of Action should not be Applauded', *International Relations of the Asia Pacific*, 8:2, 2008.
5. 'R2P in the Asia Pacific: problems and progress', co-authored with Alex Bellamy, *Security Dialogue*, 40:6, 2009.
6. 'Is there an international duty to protect persons in the event of an epidemic?', *Global Health Governance*, 3:2, 2010.
7. 'What contribution can International Relations make to the evolving global public health agenda?', *International Affairs*, 86:5, 2010.
8. 'Health as a Human Right: a matter of access or provision?', *Journal of Human Rights*, 9: 4, 2010.
9. 'The duty to report disease outbreaks: of interest or value? Lessons from H5N1', *Contemporary Politics* 17:4, 2011.
10. 'Nowhere to hide: Informal Disease Surveillance Networks tracing State Behaviour', *Global Change, Peace and Security*, 24:1, 2012. Edited Special Symposium: The Politics of Disease Surveillance, Sara E. Davies and Jeremy Youde.

EDITORSHIP:

Co-Editor (with Alex Bellamy and Monica Serrano), *Global Politics and the Responsibility to Protect Book Series*, Routledge.

Co-Editor in Chief of *GR2P: Global Responsibility to Protect*, Martinus Nijhoff.

RESEARCH FUNDING

2008-2011. ARC Discovery Project. *Containing H5N1: the role of the World Health Organization (WHO) and East Asian states*. Sole CI ECR/APD. **\$355,944.00**

2009-2011. ARC Discovery Project. *An Early Warning Framework for the Prevention of Genocide and Mass Atrocities*. CI with Alex Bellamy, University of Queensland. **\$350,000.00**

Curriculum vitae

Name: Tim Dunne

Academic Appointments

- 2010 **Professor of International Relations**, School of Political Science and International Studies. **Director of Research**, Asia Pacific Centre for the Responsibility to Protect. University of Queensland
- 2003 - 2010 **Dean of the College of Humanities and Social Sciences**, University of Exeter. Previously Head of Humanities and Social Sciences, (2008-9); Professor of International Relations (2007 -); Head of Department of Politics (2004-7); Reader in International Relations (2003-07)
- 1993 – 2003 Lecturer and Senior Lecturer in International Politics, University of Wales, Aberystwyth

Academic Qualification (highest)

- 1989 – 1993 M.Phil and D.Phil in International Relations, St Antony's College. Awarded the British International Studies Association prize. Published in 1998.

Relevant Publications (most relevant, from 10 books and 51 articles and chapters)

'Operationalising Protective Intervention: Alternative models of Authorisation', with Nicholas Wheeler in Andy Knight and Frazer Egerton eds., *Routledge Handbook of the Responsibility to Protect* (London: Routledge, 2012, in press)

'Libya and the State of Intervention', with Jess Gifkins, *Australian Journal of International Affairs* 65.5 (2011), pp. 515-529.

Terror in our Time, with Ken Booth. Routledge: New York, 2012 [though published 31 August 2011 in the United States], pp. 230.

'Crisis, What Crisis? Liberal Order Building and World Order Conventions', with Marjo Koivisto, *Millennium* 38.3 (2010), pp.615-640. Special Issue on 'After Liberalism?'

'East Timor and the new Humanitarian Interventionism', with Nicholas J.Wheeler, *International Affairs*, 77.4 (2001), pp.805-829.

"The Rules of the Game are Changing": Human Rights in Crisis Post-9/11' *International Politics* 44.2 (2007), pp.269-286.

As indicators of international standing, Dunne's research appears in the consolidated handbook of the 10 volume series, edited by Robert Goodin, *The Oxford Handbook of Political Science* (with only seven other IR scholars); he is also featured in Martin Griffiths et al, *Fifty Key Thinkers in International Relations* (London: Routledge, 2008).

Professional Service and Engagement

- 2011-2014 International Studies Association governing body
- 2011- Academic lead for International Studies Association Asia Pacific conference
- 2011- Australian Research Council assessor
- 2010 Economic and Social Research Council (UK) large grants panel
- 2009-2013 Editor of *European Journal of International Relations* [A* in ERA 2010]
- 2007 Visiting Senior Scholar, University of Queensland
- 2007 Visiting Fellow, Nuffield College, University of Queensland
- 2007-2010 British International Studies Association governing body
- 2004-2007 International Studies Association, President's nominating committee

Curriculum vitae

Name: Luke Glanville

Position: Research Fellow, Griffith Asia Institute, Griffith University

Edited Books

1. Alex J. Bellamy, Sara E. Davies and Luke Glanville (eds.), *Responsibility to Protect and International Law* (Martinus Nijhoff/Brill, 2011).
2. Sara E. Davies and Luke Glanville (eds.), *Protection of the Displaced: Deepening the Responsibility to Protect* (Martinus Nijhoff/Brill, 2010).

Articles (10 best)

1. 'The Myth of "Traditional" Sovereignty', *International Studies Quarterly* 57, no. 2 (forthcoming 2013).
2. 'Christianity and the Responsibility to Protect', *Studies in Christian Ethics* 25, no. 3 (forthcoming 2012).
3. 'The Responsibility to Protect Beyond Borders', *Human Rights Law Review* 12, no. 1 (forthcoming 2012).
4. 'The Antecedents of "Sovereignty as Responsibility"', *European Journal of International Relations* 17, no. 2 (2011), 233-255.
5. 'Ellery Stowell and the Enduring Dilemmas of Humanitarian Intervention', *International Studies Review* 13, no. 2 (2011), 241-258.
6. 'Darfur and the Responsibilities of Sovereignty', *International Journal of Human Rights* 15, no. 3 (2011), 462-80.
7. 'On the Meaning of "Responsibility" in the "Responsibility to Protect"', *Griffith Law Review* 20, no. 2 (2011), 482-504.
8. 'Retaining the Mandate of Heaven: Sovereign Accountability in Ancient China', *Millennium: Journal of International Studies* 39, no. 2 (2010), 323-43.
9. 'The International Community's Responsibility to Protect', *Global Responsibility to Protect* 2, no. 3 (2010), 287-306.
10. 'Is Genocide Still a Powerful Word?' *Journal of Genocide Research* 11, no. 4 (2009), 467-86.

Editorship

Co-Editor in Chief of *GR2P: Global Responsibility to Protect*, Martinus Nijhoff.

Curriculum vitae

Name: Noel M. Morada

Current Positions:

- Executive Director, Asia Pacific Centre for the Responsibility to Protect
- Senior Research Fellow, School of Political Science and International Studies, University of Queensland

Past Positions:

- Professor of Political Science, University of the Philippines Diliman, Quezon City
- Distinguished Visiting Professor, Southeast Asia Program, Paul H. Nitze School of Advanced International Studies (SAIS), Johns Hopkins University Washington DC (Spring 2008)

R2P Related Service

- Conducted lectures and training seminars on R2P in the Philippines, Cambodia, Thailand, United States, University of Pretoria, and Kofi Annan International Peacekeeping Training Centre
- Invited speaker and presenter in international and regional conferences on promoting R2P in the Asia Pacific
- Country Program Director for the Philippines, Asia Pacific Centre for the Responsibility to Protect
- Member, Editorial Board, *Global Responsibility to Protect*
- Member, International Advisory Board, Asia Pacific Centre for the Responsibility to Protect (prior to joining the Centre)
- Member, Screening Committee, R2P Fund Project

Key R2P Related Publications:

- "Asia Pacific (Responses)" in Jared Gesner and Irwin Cotler (eds.), *The Responsibility to Protect: The Promise of Stopping Mass Atrocities in our Time* (Oxford University 2011)
- "The Role of Regional and Subregional Arrangements in Strengthening the Responsibility to Protect: ASEAN and the ARF", Stanley Foundation (May 11, 2011).
- "The ASEAN Charter and the Promotion of R2P in Southeast Asia: Challenges and Constraints," *Global Responsibility to Protect*, Vol. 1, No. 2, 2009, pp. 185-207
- "R2P Roadmap in Southeast Asia: Challenges and Prospects", UNISCI Discussion Papers No. 11 (May 2006).

Curriculum vitae

NAME: Heather Ishbel Rae

POSITIONS:

CURRENT Visiting Fellow, Department of Political and Social Sciences, European University Institute, Florence, Italy.

PREVIOUS 2001-2010, Fellow and Deputy Director of Studies, Graduate Studies in International Affairs, Department of International Relations, Australian National University.

BOOKS

2002 *State Identities and the Homogenisation of Peoples* (Cambridge: Cambridge University Press, Studies in International Relations). Along with case studies of forced religious conversion, forced expulsion, ethnic cleansing, and genocide, the book also traces how changing international norms regarding the treatment of minorities have been tied to changing conceptions of legitimate sovereign statehood, culminating in the contemporary concept of conditional sovereignty that underpins R2P

CURRENT RESEARCH AND RELEVANCE TO R2P WORKSTREAM 3 DOCTRINE,

The Frontiers of Liberalism

The contemporary global liberal order faces important challenges. In their attempts to meet these challenges liberal states have done much to undermine their own legitimacy as liberal norm carriers, through the use of torture, for example. However, liberalism also provides the ethical basis from which to contest violent state practices. The re-articulation of legitimate sovereignty, which is pivotal to R2P, is of central importance here. In this project, as well as examining the ‘torture debate’, I also examine the limits of religious toleration, and the contemporary legacy of liberal imperialism in debates over how states—and international organizations—should approach mass abuses of human and humanitarian rights. This research will yield a book manuscript for submission to Cambridge University Press, and several substantial journal articles.

RELEVANT ARTICLES AND CHAPTERS

‘Sovereignty Contests and the Problem of Protection’, article in preparation; to be submitted to *European Journal of International Relations* or equivalent journal.

‘Liberalism and the Uncivilised Other’, article to be submitted to *Review of International Studies* or equivalent journal.

Heather Rae and Chris Reus-Smit, ‘Grand Days/Dark Palaces: The Architecture of Liberal Internationalism’, in Tim Dunne, Trine Flockhart and Marjo Koivisto (eds), *Liberalism and World Order* (Oxford: Oxford University Press, Forthcoming)

2007 ‘Theories of State Formation’ in Martin Griffiths, (ed) *IR Theory for the Twenty-First Century* (London: Routledge Press).

2007 ‘Internal Displacement in Eastern Burma’, *Forced Migration Review*, 48, pp. 45-47.

2004 ‘State Formation’ in *The Routledge Encyclopedia of International Relations* (London: Routledge Press).

Curriculum vitae

Name: Sarah E. Teitt

School of Political Science and International Studies, The University of Queensland,
Brisbane, Queensland, Australia, 4072

RESEARCH AREAS:

Chinese Foreign and Humanitarian Policy
Gender and Mass Atrocities Prevention
Global and Regional Institutions and the Responsibility to Protect

CURRENT POSITION:

Outreach Director, Asia-Pacific Centre for the Responsibility to Protect (APC-R2P) University of
Queensland, Brisbane, Australia (2009-present)

- Launch and support multi-sector national programs in Southeast Asia to enhance understanding, build consensus and foster practical initiatives to advance the protection of populations from mass atrocities;
- Develop and deliver context-sensitive training modules on the responsibility to protect, sovereignty as responsibility and early warning and atrocities preparedness for governments, NGOs, think tanks and universities in the Asia-Pacific region;
- Develop research partnerships in support of programs for fostering dialogue and cooperation on mass atrocities prevention in the Asia Pacific region, and between the region and global networks and institutions.

EDUCATION:

PhD Candidate (University of Queensland, expected completion 2012)

Master of Arts, Peace and Conflict Resolution (University of Queensland, 2006)

Bachelor of Arts, International Relations (Roanoke College, USA, 2002)

SELECT PUBLICATIONS:

'Paper Tiger or Platform for Action? South Asia and the Responsibility to Protect', W. Andy Knight and Frazer Egerton eds., *Routledge Handbook of the Responsibility to Protect*, (London: Routledge, 2012, in press).

'Responsibility to Protect and China's Peacekeeping Policy'. Special issue on China and UN Peacekeeping, *International Peacekeeping*, Vol. 18, No. 3, June 2011.

'Assessing Polemics, Principles and Practices: China and the Responsibility to Protect'. *Global Responsibility to Protect*, Vol. 1, No. 2 (2009), 208-236.

POLICY DIALOGUE and TRAINING EXPERIENCE:

Facilitated dialogue on national and regional efforts to advance R2P among academics, government and civil society representatives in the Philippines, Cambodia, China, Indonesia, Mongolia and Japan; Developed and delivered training modules on gender and atrocities prevention for leading regional and global women, peace and security networks, including in cross-cultural contexts for Muslim women peace advocates; Secured Australian Leadership Awards Fellowship Grant to deliver an Intensive Training Course for Philippine Government Representatives on the causes and preconditions of mass atrocities, early warning and crisis preparedness and building regional atrocities response mechanisms (2010, AusAID grant \$55,220); Served as resource person for regional outreach and training on building a global network for genocide and atrocities prevention, early warning, region-to-region learning and crisis response for, inter alia, the United Nations Office of the Special Advisor on the Prevention of Genocide, US Holocaust Memorial Museum Committee of Conscience, the United Nations System Staff College, the Global Centre for the Responsibility to Protect, the International Coalition for the Responsibility to Protect, Oxfam Australia, and the World Federation of United Nations Associations; Serve as academic advisor to the Research Center for the United Nations and International Organisations, Beijing Foreign Studies University.

Curriculum vitae

Name: Jocelyn Vaughn

Asia Pacific Centre for the Responsibility to Protect (APC R2P), School of Political Science and International Studies, The University of Queensland, Brisbane, Queensland, Australia, 4072

RESEARCH AREAS:

Humanitarian Security Policy
International Peace and Security
Protection of Civilians and Responsibility to Protect

CURRENT POSITION:

Postdoctoral Research Fellow, Asia Pacific Centre for the Responsibility to Protect (APC R2P)
University of Queensland, Brisbane, Australia (from January 2012 - present)

- Work with Professor Tim Dunne on the above projects undertaken by Workstream 3 of the APC R2P centre;
- Research and dissemination of research findings on themes related to R2P and humanitarianism, with particular emphasis on conceptual and normative aspects of these practices.

Production Manager, European Journal of International Relations, (2008-Present)

- Responsible for the day-to-day running of the journal and preparing manuscripts for publication;
- Assist with policy formation and dissemination to authors and reviewers;
- During Exeter's editorship, EJIR submissions have increased by 11%, and we have met our targets for average turn-around time.

EDUCATION:

PhD in Politics (University of Exeter)

Master of Arts, International Relations (University of Exeter)

Bachelor of Arts, History and French (Union University, USA)

SELECT PUBLICATIONS:

'The Unlikely Securitizer: Humanitarian Aid Organizations and the Securitization of Indistinctiveness,' *Security Dialogue* June 2009, 40 (2).

PUBLICATION PLANS:

My PhD thesis focuses on the threat conceptions of humanitarian organizations, the protection of humanitarian personnel in operational settings, the various methods by which humanitarian organizations attempt to safeguard staff and supplies. The protection of humanitarian personnel and supplies has gained political traction in recent years; however, humanitarian protection remains an ancillary aspect of the much broader R2P and protection of civilians (POC) agendas.

Immediate research and publication plans concentrate on two ongoing themes relating to the R2P and POC agendas. The first builds on past research and focuses on the conceptual, normative, and operational support of R2P by the humanitarian aid community. The humanitarian aid community has an important role to play in alleviating civilian hardships prior to and during R2P action. However, there remains contestation regarding the merits of participation versus abstinence in R2P-related programmes because of their 'political' nature and fear that the association will cause a security backlash. Where

Name: Jocelyn Vaughn, continued

then does the humanitarian community stand regarding its commitment to the POC agenda and its support of R2P? Are there alternative ways in which humanitarian organizations can contribute?

The second theme focuses on diplomacy on R2P in the AU and ECOWAS and the changing perceptions toward R2P/POC by African states. Given that the recent operations in Cote d'Ivoire and Libya have caused extensive debates regarding the status and application of R2P, where do key African states position themselves in these debates and how are the positions taken by these states negotiated and accommodated in regional fora? Have region organizations come to greater consensus regarding R2P or are they as fragmented as ever?

8. Risk and Mitigation Plan

APC R2P recognises that \$2,000,000 represents a significant investment for the Australian Federal Government, particularly given that competition for funds comes from other high impact initiatives in the realms of development and security. APC R2P also recognises that the Government must be confident that risks associated with the initiative have been articulated, understood and strategies put in place to mitigate them.

The following table identifies the broad risks and mitigation strategies associated with phase 2 of the Centre's existence (July 2012 – June 2015).

These risks are divided into Generic and Program-specific

a) Generic

Nature of risk	Likelihood	Potential impact	How risk will be managed
APC R2P selects research programs that are not policy relevant	Low	High	Workstream leaders will establish research programs with input from AusAID and the Centre's eminent IAB to ensure the research programs are aligned with the Centre's DAPT goals.
APC R2P does not deliver tangible benefits to the Australian Government	Low	High	<p>The Centre has a number of review mechanisms in place to communicate, and if necessary revise, research and outreach activities to benefit Australian government stakeholders. These include the annual reporting mechanism; regular consultation with line-management within AusAID Humanitarian Affairs manager; mid-term review.</p> <p>In Phase 2, the Centre will seek to enhance desk-to-desk coordination between Centre staff and government counterparts.</p>
APC R2P does not deliver high quality research outputs	Low	Low	Research Director to set out a clear research strategy for the beginning of Phase 2 to ensure high quality outputs which align both with AusAID's needs and UQ's research goals. The Research Director will conduct bi-annual reviews with all research staff.
APC R2P does not have the staffing capability to			Phase 2 for the Centre will draw more directly on experienced

Nature of risk	Likelihood	Potential impact	How risk will be managed
support its research agenda	Low – Medium	Medium	researchers in R2P and cognate fields who have a track record in both scholarly and policy outputs and/or engagement.
APC R2P does not meet its contract obligations	Low	Medium	The track record for phase 1 has been excellent in terms of meeting deliverables; feedback from the mid-term review was positive. As noted above, regular reporting and a scheduled mid-term review will monitor compliance.
APC R2P will not attract funding from other sources		Medium	Funding from the following is committed: In-kind contribution from UQ valued at \$2,261,631. Where there is no conflict with meeting Centre obligations, staff will be encouraged to generate income through professional training (and consulting) to boost individual and collective resources for the Centre.
The research program will focus on academic/scholarly outputs instead of impact/outcome priorities established by AusAID		Medium	The research strategy matters to key stakeholders in Australia and in the region; it cannot be driven solely by the need to publish high quality research outputs to enhance UQ's standing as a top 3 research university in Australia.
Retention of core staff	Medium	Medium	All fixed term contracts generate retention issues, particularly in the last 12-18 months of the Agreement. Centre staff will be mentored, at the outset, by the Research Director (UQ position) and International Director (GU position), about how to ensure the deliverables for their workstream(s) can be fully utilised to develop their professional competences and employability over the longer term.

b) R2P Subject-specific

Nature of risk	Likelihood	Potential impact	How risk will be managed
R2P declines in importance internationally	Low	Low	<p>Ongoing crisis in the Middle East (e.g., Syria and Gulf states) and Africa (e.g., Sudan and Nigeria) continue to highlight importance of R2P in deliberations of the UN and regional organizations.</p> <p>The appointment of UN Secretary-General Ban Ki-moon to a second term significantly mitigates this risk as the UNSG is widely regarded as an uncompromising advocate of R2P in the UN system.</p>
R2P declines in importance within Australia	Low – Medium	Medium – High	Whilst the current Labor Government, has an impressive record of support for R2P and change in ministerial appointment or government may reduce the support for R2P. However this is an area of international affairs that has received bi-partisan support.
<p>Workstream 1: Regional Diplomacy and Capacity Building</p> <p>Governments in the region become less open to R2P.</p>	Low	Low	The Centre adopts a multi-stakeholder, institutional partnership engagement strategy to ensure that regional diplomacy on R2P is not dependent on government officials alone. Centre's advocacy for a bottom-up approach in promoting R2P has gained enormous support within and outside the Asia Pacific.
<p>Workstream 1: Regional Diplomacy and Capacity Building</p> <p>Country programs are not sustainable.</p>	Low	Medium	The Centre builds strong institutional partnerships and has an in-country program coordinator to ensure that the programs are sustainable and locally-owned. The Centre will continue to deepen engagement with local partners.

Nature of risk	Likelihood	Potential impact	How risk will be managed
<p>Workstream 2: Prevention of Genocide and Mass Atrocities</p> <p>Data is not sufficient or reliable enough to analyse risk for sexual violence.</p>	Low	Medium	<p>This program of research is designed explicitly to mitigate risk of data availability. Furthermore, the Centre is in consultation with the data officer of the UN Joint Office to ensure that the best and most reliable data is available.</p>
<p>Workstream 3: Doctrine and Concepts</p> <p>Minimal political will to generate guidelines for Pillar 3 action or carry through with whole of government approach to mass atrocities prevention.</p>	Medium	Medium	<p>Consultation with stakeholders will ensure that guidelines are ambitious, yet realistic. Also, the Centre will build and maintain relationships with US Government and UN stakeholders tasked with mainstreaming atrocities prevention to ensure that the project reflects and is relevant to developments in and challenges to policy implementation.</p>

Framework for Monitoring and Evaluation for APC R2P Phase 2

This Monitoring and Evaluation framework flows out of the DAPT strategy that has guided the Centre's planning in relation to Phase 2. Each component of this strategy is geared to the same overall objective of advancing the principle of R2P through dialogue and persuasion.

The May 2012 Conference on 'Regional Capacity for R2P Prevention and Response' will enable the Centre leadership team to acquire better data on the baseline assessment of R2P in the region (the baseline data will be revisited after the conference).

For Phase 2, the Centre is proposing to assess progress at the following junctures:

- Baseline (July 2012)
- Mid-term (January 2014)
- Final report (June 2015)

Advocacy	
Goal: To advance awareness of R2P and foster policies conducive to the prevention of mass atrocities	
Target Outcome	Indicators
<i>Government officials in Southeast and Northeast Asia engaged in dialogue on R2P</i>	<p>Presence of Southeast and Northeast Asian government representatives at workshops and meetings.</p> <p>Constructive contribution to dialogue by government officials.</p>

<i>Key civil society, academic and government stakeholders engaged in concrete policy planning on R2P/mass atrocities prevention at national level</i>	<p>Stakeholders make commitments to atrocities prevention and/or endorse R2P.</p> <p>Stakeholders develop policy briefs on R2P and atrocities prevention.</p> <p>Stakeholders consider national legislation and/or national policy on R2P.</p> <p>Stakeholders engage in dialogue on appointment of NFPs on R2P.</p>
<i>Expansion of number of countries hosting dialogue on R2P</i>	Monitor location of institutes hosting dialogue on R2P in Southeast and Northeast Asia.
<i>Expansion of network of R2P champions in the region</i>	<p>Identify key R2P researchers and advocates in the region.</p> <p>Monitor statements and activities of R2P champions.</p>
<i>Key civil society, academic and government stakeholders engaged in dialogue and concrete policy planning on R2P and mass atrocities prevention within relevant regional institutions</i>	<p>Regional bodies with R2P-relevant mandate (such as ASEAN Intergovernmental Commission on Human Rights) engaged in dialogue on R2P.</p> <p>Regional institutions develop concrete proposals for implementing CSCAP Study Group recommendations on enhancing regional capacity to prevent mass atrocities.</p>
<i>Enhanced R2P public diplomacy in the region</i>	<p>Monitor use of new media to raise awareness of developments in R2P policy and the application of R2P to crisis situation.</p> <p>R2P and mass atrocities prevention/response featured in well established blogs and media outlets.</p> <p>Track ‘viral reach’ of new media initiatives.</p>
<i>Stronger network of young</i>	Track growth and geographic reach of Student Coalition for R2P.

<i>people engaged in R2P advocacy in region</i>	Students involved in R2P advocacy and training.
<i>Key civil society, academic and government stakeholders engaged in dialogue on the advancement and protection of women in the field of R2P/atrocities prevention</i>	<p>Presence of women and women's rights organizations at meetings and workshops on R2P.</p> <p>Number of workshops and meetings specifically dedicated to gender and atrocities prevention.</p> <p>Inclusion of dialogue on the link between R2P/atrocities prevention and the advancement and protection of women's rights in national and regional institutions and on the agenda of conferences and workshops.</p>
Training Goal: To transfer knowledge of R2P to build regional capacity to analyse and develop appropriate measures to prevent and respond to mass atrocities	
Target Outcome	Indicator
<i>Growth of self-sustaining training programs on R2P and mass atrocities prevention in national think tanks and policy institutes</i>	<p>R2P and related topics incorporated in existing training curriculum of foreign service institutes and other similar state and local institutions.</p> <p>Training programs on R2P and mass atrocities include return to work plans of action.</p> <p>Number of experts within country available to be called on to brief government officials on R2P and related issues.</p>
<i>Enhanced capacity of regional institutions with R2P-relevant mandate to analyse and assess mass atrocities risk and risk mitigation strategies</i>	<p>Mass atrocities prevention and risk assessment incorporated in existing training programs for regional institutions with R2P-relevant mandates.</p> <p>Training programs on R2P and mass atrocities include action-oriented work plans.</p>
<i>Increased availability of context-appropriate training materials on R2P for stakeholders in the region</i>	<p>Number and type of sector-specific (government, civil society, academic, media) training modules delivered in region.</p> <p>Core training materials on R2P translated to local languages.</p>

<i>Enhanced capacity of stakeholders in region to assess the linkages between the advancement and protection of women's right and mass atrocities prevention</i>	<p>Training modules on gender and atrocities prevention delivered.</p> <p>Training programs on gender and mass atrocities include action-oriented work plans.</p>
<p>Policy measures</p> <p>Goal: To provide expert recommendations to decision makers on appropriate measures to advance human security and prevent mass atrocities, and to communicate R2P policy developments between state, regional and international stakeholders</p>	
Target Outcome	Indicator
<i>Enhanced communication and coordination between the UN and the Asia Pacific region in the field of mass atrocities prevention and response</i>	<p>Dissemination of policy recommendations on UN inter-agency coordination on atrocities prevention.</p> <p>Dissemination of background briefing on the UN Secretary General's annual reports on R2P in region in preparation for annual UN General Assembly interactive dialogues.</p> <p>Dissemination of policy recommendations on Southeast Asian perspectives on R2P and the crises in Libya and Syria.</p> <p>Dissemination of policy recommendations on assessment of regional and national prevention and response capacities of ASEAN and its member states in genocide and mass atrocities prevention.</p>
<i>Enhanced understanding of the relationship between R2P and crisis situations</i>	<p>Dissemination of policy recommendations exposing myths around the use of coercive measures.</p> <p>Monitor new and high profile cases of the application of R2P , and policy implications for Australia and for the region.</p> <p>Identify procedures for assessing credible risk of imminent mass atrocities.</p>

<i>Enhanced policy engagement on mass atrocities overwhelming affecting women and girls</i>	<p>Dissemination of policy recommendations for advancing the protection of women from mass atrocity crimes, including mass sexual violence.</p> <p>Dissemination of policy recommendations for increasing the participation of women in atrocities prevention and response.</p>
<i>Enhanced knowledge of regional activities on R2P and increased region-to-region dialogue on R2P and mass atrocities prevention</i>	<p>Monitor strategic coordination among 'like-minded' pro R2P states.</p> <p>Dissemination of policy recommendations on region-to-region learning on R2P policy development.</p>
<p>Discovery measures</p> <p>Goal: To advance knowledge and build research capacity on the responsibility to protect and human protection</p>	
Target Outcome	Indicator
<i>Advanced theory and methodologies applied to R2P and related policy questions</i>	<p>Presentation of theory-policy research at leading international conferences and workshops.</p> <p>Translate academic outputs to policy briefings.</p>
<i>High level academic outputs published</i>	<p>Articles published in leading peer-reviewed academic journals (benchmarked according to A and A* rankings: ERA 2010 and Australian Political Studies Association preferred list 2012).</p> <p>Academic book(s) with leading university presses and equivalent global publishers.</p>
<i>Strengthened research capacity on R2P and related areas in the region</i>	<p>Collaborative research projects on R2P and related issue areas among academics in region.</p> <p>Collaborative grant applications on R2P and related issues areas among academics in the region.</p> <p>Growth and diversity of R2P research fellows actively contributing to APC R2P agenda.</p> <p>On-going collaboration with former Australian R2P Fund project research teams.</p>