

DRAFT REPORT

**A STUDY ON THE
OPERATIONALIZATION OF THE AFRICAN HUMANITARIAN AGENCY**

SUBMITTED TO:

THE DEPARTMENT OF POLITICAL AFFAIRS, THE AFRICAN UNION COMMISSION

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1. ACRONYMS

AAU	Assembly of the African Union
AHA	African Humanitarian Action
AHA	ASEAN Humanitarian Agency
AU	African Union
AUC	African Union Commission
AUHA	African Union Humanitarian Agency
CAP	Common African Position
CDEMA	Caribbean Disaster Emergency Management Agency
CEWARN	Conflict Early Warning and Response Network
CEWS	Continental Early Warning System
CSO	Civil Society Organization
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EAC	East African Community
ECCAS	Economic Community of Central African States
ECOWAS	Economic Community of West African States
ERAT	Emergency Response and Assessment Team
ICRC	International Committee of the Red Cross
ICVA	International Council of Voluntary Agencies
IFRC	International Federation of the Red Cross
IGAD	Intergovernmental Authority for Development
NEMA	National Emergency Management Agency
NEPAD	New African Plan for Accelerated Development
OCHA	Office for the Coordination of Humanitarian Affairs
NGO	Non-governmental Organization
SADC	Southern Africa Development Community
UNISDR	United Nations International Strategy for Disaster Reduction
VERT	Volunteer Emergency Teams
WHO	World Health Organization
WMO	World Meteorological Organization

2. EXECUTIVE SUMMARY

The Assembly of the AU in its Decision Assembly/AU/Dec.604 (XXVI) of 30 January 2016, in Addis Ababa, Ethiopia aside from adopting a CAP on Humanitarian Effectiveness expressly decided to: “establish an African Humanitarian Agency (AfHA) which should be anchored on regional and national mechanisms and funded with Africa’s own resources; and to request the Commission to embark on the process for the establishment of such an architecture anchored on principles of pan-Africanism and African shared values”.¹

This study is to operationalize AfHA. Through desk review of relevant literatures, wide consultations among Regional Economic Communities (RECs); Regional Mechanisms; Member States and wide ranging partners, through meetings, interviews and questionnaires, as well as careful analysis, this study provides a roadmap for the operationalization of the AfHA.

The study justifies the need for an AfHA, based on a known trajectory of sources of, and varying degrees of the humanitarian crises that has plagued nationals of the Member States and the attendant effects. The recognition of Heads of Member states and relevant agencies of the need for a continental agency to fill the coordinating void in the existing humanitarian response framework was backed up by the empowering provisions of the AU Constitutive Acts, the PSC Protocol and Agenda 2063. The primary aim of the study is to recommend a roadmap for the operationalization of the proposed AfHA at continental, regional and national levels.

The empowering mandates of the AU as provided in the AU Constitutive Act and the Protocol establishing the Peace and Security Council, adequately support the operationalization of the AfHA.

Operationalising the Agency

The AfHA would operate under core humanitarian principles such as “humanity, impartiality, independence and neutrality; including principles of state responsibility, solidarity among Member States as a customary extension of hospitality, egalitarianism and solidarity with peoples in situations of need; and also lays emphasis on participation and ownership by the affected populations and host communities as a cornerstone of humanitarian action”.

The AfHA is expected to benefit from the AU regular budget as well as adopt innovative means to be internally funded and self-sustainable, and ensure a sense of local ownership. The AfHA is also designed to thrive on viable operational and resource partnerships with various stakeholders at various levels.

The study has benefited from views and submissions from various experts at different meetings. Such as the 6th Humanitarian Summit in Nairobi, providing views from the AfHA by many Member States who were consulted on best practices as well as views on how AfHA should operate. Consultations with many RECs, Inter-Governmental Organisations and Civil Society Organisations as well as visits to ASEAN Humanitarian Agency (AHA) and CDEMA (yet to be visited) were equally very helpful.

Two proposed options

¹ A copy of the Decision is attached as an annex

The first option is to have AfHA as an entity with staff representation in all Member States and coordinated from a Headquarter of the Agency. This option would require in the minimum at the commencement about 44 staff members at the Agencies headquarters and 165 on the ground. This would be a very expensive starting point.

The second option is the Agency having a total of 60 staff members, including 16 distributed to 5 Regions of Africa and 1 Humanitarian Officer added to the AU office in Geneva to undertake outreach to international humanitarian actors.

The second option is preferred. It can be reviewed after 5 years to see if the situation warrants a leaner or and expanded AfHA.

Functions of the AfHA

The functions of the AfHA were arrived at from careful considerations and consultation with relevant agencies and stakeholders at the local and international levels, administration of questionnaires which largely revealed the thinking and pulse of the AU Member States on the expected responsibilities of the AfHA. The eight functions of the AfHA have been carefully drawn with an understanding of the currently existing structures, such that there are clearly defined role, avoidance of unnecessary competition, with the need to synergise for effective cooperation and coordination.

Proposed Structure

The study proposes the AfHA to be composed of the following structures:

- The Office of the Head of the Agency;
- Disaster Risk Management and Mitigation Unit (this combines preparedness, response with disaster risk reduction to effectively bridge the humanitarian-development nexus);
- Forced Displacement Unit;
- Regional Monitoring and Relations Unit (this coordinates staff in the field and houses the Situation Room) and;
- A support unit to handle all administrative and financial issues.

It is expected that the Division for Humanitarian Affairs of the AUC will continue to play advisory role on policy and strategic issues at the AUC. The AfHA would operate under a board chaired by the Commissioner for Political Affairs (or successor under AU Reforms) and including relevant stakeholders.

The AfHA would operate in the forms of emergency/non-emergency (surge and non-surge) modes.

3. CONTEXT OF AFRICAN HUMANITARIAN ACTION

3.1. Background

This is a study on the operationalization of the Decision of African Heads of State to establish an African Humanitarian Agency. The Department of Political Affairs is currently charged with the African Union's efforts on humanitarian actions. In this respect, the Humanitarian Affairs, Refugees and Displaced Persons Division is one of the two Divisions that currently make up the Department of Political Affairs. This is expected to change in 2021 as a result of the merging of the Humanitarian Affairs Division with the Social Affairs Division under the current AU Reform process.

When operationalized, the AfHA would be expected to fill a major lacuna in humanitarian action in Africa by providing effective coordination effort on the handling of humanitarian crises on the African Continent. This would involve contributions at the strategic level as well as synchronizing and sharing best practices all over the continent in interactions with Member States that have the ultimate responsibility for the protection of citizens either directly and/or, through regional mechanisms, in particular, the Regional Economic Communities (RECs). The AfHA expected to have on the ground presence in humanitarian operations in Member States in a collaborative manner with emergency response and assessment teams (ERATs) data bases with RECs, regional mechanisms and Member States.

The African Union, through the AfHA, is expected to provide support and intervention on as needed basis when nationals of Member States face dire situations. In effect, AfHA will combine a heavy strategic orientation with a light footprint on operations.

3.2. The Mandate of AfHA

The Constitutive Act

Finding answers to these perennial problems have always been a core desire of the leadership at the African Union (AU). For example, Article 13(1) (e) of the AU's *Constitutive Act* granted the Executive Council express power to: "coordinate, take decisions on policies in areas of common interest to the Member States, including... environmental protection, humanitarian action and disaster response and relief,"

The Protocol establishing the Peace and Security Council (PSC) in Articles 3 (f) and 6 (f), equally puts concern for humanitarian problems in Africa as a major concern of the African Union. In Article 3, the AU saw the important link between international humanitarian law as part of conflict prevention in Africa. Article 6 expressly made the coordination and decision-making on humanitarian issues a responsibility of the PSC. The PSC was mandated to "perform functions in ... humanitarian action and disaster management". Article 7 (p), in stating the powers of the PSC left no-one in doubt on the fact that the PSC has the powers to support and facilitate humanitarian action in situations of armed conflicts or major natural disasters". This Protocol equally provided in Article 12 for the gathering of information on humanitarian early warning indicators as part the mandate for the Continental Early Warning System (CEWS) and in Article 13, mandated the African Standby Force with the responsibility of "humanitarian assistance to alleviate the suffering of civilian population in conflict areas and support efforts to address major natural disasters".

Agenda 2063

In looking at the progress and challenges that Africa faces in today's world and implications for Agenda 2063, the Framework Document² noted the high vulnerability of Africa to climate change in spite of its low contribution to the problem given its low level of industrialization. The document points out that the relatively low level of technological development of Africa renders it highly vulnerable to disasters especially "climate-related or hydro-meteorological hazards, i.e., drought, flood and windstorms. The document lists less frequent hazards as including: "pest infestation, earthquakes, landslides, wildfire and volcanic eruptions. Cyclones mainly affect Madagascar, Mozambique, and some of the Indian Ocean islands. More prevalent are diseases outbreaks, such as Ebola, that have left a trail of heavy destruction of both life and livelihoods". Agreeing that African age-old household resilience was not enough, hope was placed in The African Strategy for Disaster Reduction and the Programme of Action for the implementation of the Africa Regional Strategy for Disaster Risk Reduction (2006-2015) as providing a foundation for a comprehensive response with financing mechanism.

Decisions of the Assembly

The Assembly of the African Union (AAU) in its Decision Assembly/AU/Dec.604 (XXVI) of 30 January 2016, in Addis Ababa, Ethiopia adopted a CAP on Humanitarian Effectiveness. This was necessary to narrow differences and thereby strengthen the hands of the African countries at the Istanbul World Humanitarian Summit. However, the AAU went further in a response to the continental level's paucity in the coordination of humanitarian action among African countries. It approved the establishment of the African Humanitarian Agency.

In its express words, the AU decided to:

adopt a Common African Position on Humanitarian Effectiveness to be submitted at the World Humanitarian Summit;

establish an African Humanitarian Agency which should be anchored on regional and national mechanisms and funded with Africa's own resources; and to request the Commission to embark on the process for the establishment of such an architecture anchored on principles of pan-Africanism and African shared values.³

Common African Position (CAP) on Humanitarian Effectiveness

In responding to the problem, the Assembly of the African Union chose the opportunity of having a common position for the World Humanitarian Summit in Turkey to articulate the need for an African Humanitarian Agency as an appropriate architecture to respond to the humanitarian problems in Africa and "advance the continental agenda on humanitarian action, with due consideration of its legal, structural and financial implications. The Agency shall be Africa's institutional pillar in dealing with forced displacement on the continent, giving effect to the objective of the centrality of the African States in humanitarian action on the continent".⁴

² *Agenda 2063: The Africa We Want: Framework Document*, "A shared strategic framework for inclusive growth and sustainable Development & a global strategy to optimize the use of Africa's Resources for the benefit of all Africans," September 2015, pp. 69-71.

³ A copy of the Decision is attached as an annex

⁴ Common African Position ... *op. cit.*, para 75.

It is important to note that the CAP expects the African Humanitarian Agency to seek after durable solutions by digging into root causes of the problems faced by African people. The Agency is also to be guided by all core humanitarian principles such as “humanity, impartiality, independence and neutrality; including principles of state responsibility, solidarity among Member States as a customary extension of hospitality, egalitarianism and solidarity with peoples in situations of need; and also lays emphasis on participation and ownership by the affected populations and host communities as a cornerstone of humanitarian action”.⁵

In addition, the CAP requires the African Humanitarian Agency to, on the basis of building capabilities of states, operate along four lines. These are: predictive; preventive; responsive; and adaptive capabilities in handling humanitarian problems on the African Continent.

3.3. Objectives of the Study

The overall objective of the study is to assess and offer advice on the operationalization of an AfHA that can robustly handle the multidimensional humanitarian problems on the African Continent. The expressly stated Terms of Reference (ToR) for the study is very helpful towards stating the objectives of the study:

- assess the existing structural and institutional mechanisms for a humanitarian response on the continent with a view to ascertain needs and measures that are required to strengthen/streamline them,
- carry out a SWOT analysis of the proposed African Humanitarian Agency,
- garner views from the Member States and stakeholders on institutional architecture (design) and functions of the proposed African Humanitarian Agency, and thereby propose an appropriate organogram for the Agency,
- determine the financial and resource implications of the proposed Agency,
- recommend a roadmap for the operationalization of the proposed Agency at continental, regional and national levels.

3.4. Methodology

In executing the task of operationalizing of the AfHA, a detailed desk review of a wide range of literature was the starting point. This expansive body of works provided knowledge on different aspects of the humanitarian situation in Africa and Asia, including on gaps that an institution like AfHA would be expected to fill.

In particular was a study that the Department of Political Affairs of the AUC had commissioned that looked into the “Compilation of an Inventory and Data Base on Disaster Risk Management and Humanitarian Frameworks, Policies and Legislation in Africa”⁶ This had been followed by several works, including the “African Union Humanitarian Policy Framework”,⁷ which was put in place on the eve of the AU Assembly Decision on the “Common African Position (CAP) on Humanitarian Effectiveness”, that was submitted to

⁵ *Ibid*, para 30

⁶ Aneson Ron Cadribo, “Compilation of an Inventory and Data Base on Disaster Risk Management and Humanitarian Frameworks, Policies and Legislation in Africa”, 2014.

⁷ Department of Political Affairs, “African Union Humanitarian Policy Framework”, 2015.

the World Humanitarian Summit. Also of relevance is the Agenda 2063 providing strategic guidance on Africa's long-term transformation and development.

The Specialized Technical Committee (STC) on Migration, Refugees and IDPs that held in Malabo provided the first opportunity to brief a meeting of Member States at Expert level and receive reactions on November 1, 2018. This particular meeting called on the AU Commission to expedite the operationalisation of the Agency. The consultation also provided information on the state of humanitarian action in Africa as well as what could be done to ameliorate the situation.

The 6th Humanitarian Summit in Nairobi provided another invaluable opportunity to listen to Experts from Member States and those RECs that attended, in particular, the African Economic Community (AEC). This gathering also shared informed views on the AfHA by many Member States, including in particular, Mali, Morocco, Niger, Malawi, Ethiopia, Madagascar and Togo. The National Emergency Management Agency of Nigeria and the National Disaster Risk Management Commission of Ethiopia had earlier been consulted on best practices as well as views on how AfHA should operate at their respective Headquarters.

Several exchanges at the AUC DPA and beyond with many principal officials of the AU, including the CEOs of Africa CDC and AU Space Agency, partners like: UNHCR, WFP, OCHA, WHO, WMO, UNESCO, ICRC, World Vision, ICVA and NRC. In addition were dialogues with international and African NGOs led by ICVA at the side-lines of the 6th Humanitarian Summit as well as with ICVA leadership in Geneva. Significant were direct consultations with RECs on the study to operationalize the AfHA.

Visit to the ASEAN Humanitarian Agency (AHA) was a methodological boost. AHA provided several lessons on best practices in coordinating natural disasters among 10 Member States, including on emergency preparedness and response. The visit to the Caribbean Disaster Emergency Management Agency along the same goal remains pending.

4. HUMANITARIAN CRISES IN AFRICA

There are four broad categories of humanitarian crises in Africa on the basis of sources. These are Geological; Hydro-meteorological; Biological and Conflicts.

The disasters that are geological in origin in Africa include volcanos; earthquakes and tsunamis. Unlike the situation in Asia where these disasters recur regularly, they do not occur often in Africa and when they do, their impacts are relatively minimal. The December 26, 2004, tsunami in Asia affected a number of African countries recording its highest toll of 298 persons killed and 5,000 displaced in Somalia. There were deaths in Kenya, Tanzania, Madagascar and Seychelles. The loss of one life to disasters that could be prepared for is unacceptable. If there had been rapid information these deaths could have been radically reduced if not eliminated. It took that particular tsunami 7-10 hours before hitting the shores of Africa.

The hydro-meteorological type of disasters occurs more often in Africa. These include flash floods; hail; strong winds; tornados; thunderstorms; drought; vegetation fires; informal settlement fires and drying Rivers and Lakes.

The biological typology with respect to disasters includes: epidemic disease outbreaks and insect infestations. Ebola has been a notorious epidemic in Africa since the 1970s through to today. Also in this category would be meningitis etc. The havoc to livelihoods by insects and especially locusts constitute a major natural disaster.

It is generally agreed that 80% of disasters in Africa originate from conflicts and other social-political instabilities that are very disruptive of lives and livelihoods. However, less emphasized is the fact that many of the conflicts themselves originate from climatic and environmental disasters like droughts and others⁸ that, for instance, constantly set pastoralists against sedentary farmers and could be said to be part of the explanation for the conflict that took place in Darfur, Sudan among others.⁹

January 5, 2018, Cyclone Ava struck Madagascar causing floods and landslides. It resulted in 6 deaths and 15,000 displaced. About a year later, on January 19, 2019, Tropical Cyclone Desmond in a repetitive style hit Madagascar and beyond, including Mozambique, Seychelles and Mauritius. Resulting flash floods and landslide caused by extreme rainfall saw the death of 9 persons from buildings collapsing on them in Madagascar¹⁰. In the first half of January 2019, Niger, Malawi and Zambia, faced inundation resulting from extreme rainfalls that resulted in river and flash floods. From February 21-27, 2019, it was the turn of Angola to receive heavy rainfalls accompanied by flash floods and collapsing of buildings. March 5-8 witnessed the impact of heavy rainfalls as cyclone Idai approached to further compound the humanitarian problems on already soaked Malawi and Mozambique¹¹. The landing of Cyclone Idai on March 15, 2019 has resulted in

⁸ See, Carl-Friedrich Schleussner, et. al., "Armed Conflict risks enhanced by climate-related disasters in ethnically fractionalized countries", www.pnas.org/cgi/doi/10.1073/pnas.1601611113 and Sebastian van Baalen and Malin Mobjork, "Climate Change and Violent Conflict in East Africa: Integrating Qualitative and Quantitative Research to Probe the Mechanisms", *International Studies Review*, (2018) 20, 547-575. See also, World Economic Forum 2019 Global Risk Report, http://www3.weforum.org/docs/WEF_Global_Risks_Report_2019.pdf

⁹ See, Mahmood Mamdani, *Saviors and Survivors: Darfur, Politics and the War on Terror*, (Three Rivers Press, 2010)

¹⁰ Madagascar – Several Dead After Floods and Landslides Cause Buildings to Collapse in Antananarivo FloodList <http://floodlist.com/africa/madagascar-floods-antananarivo-january-2019>

¹¹ https://reliefweb.int/sites/reliefweb.int/files/resources/SA_Cyclone_and_Flooding_Snapshot_11032019.pdf

OCHA 11/3/2019 SOUTHERN AFRICA Cyclone Idai Snapshot (as of 10 March 2019)

uncountable deaths and material destructions in Mozambique, Malawi and Zimbabwe. Much earlier and precisely on August 14, 2017, there was flash flooding and mudslide after torrential rainfalls in Sierra Leone. More than 1,000 persons were reported to have died and many properties destroyed from this disaster. Other disasters in Africa include epidemics like Ebola, insect infestations, conflict-related trauma and droughts. Needless, to say that droughts are normally accompanied by deaths, loss of livelihoods and the stunting of children if they survive.

Perhaps more challenging are humanitarian disasters resulting from conflicts. On January 13, 2018, Nigeria buried 73 persons in one day from deaths arising from the age-long pastoralist-farmer community conflicts getting out of hand. 134 were slaughtered in Mali on March 24, 2019. These inter-communal conflicts are rife in Africa and are normally accompanied by stunted lives, deaths and destructions. In effect, it is important to note that man-made crises, especially conflicts on competition over land for, among other things, developmental purposes have resulted in numerous deaths, massive population displacements and refugee cases.

Dotted all over the continent are conflicts/wars and in some cases terrorism, in Libya, South Sudan, Central African Republic, Mali, Lake Chad Basin and Darfur in Sudan where there is the lingering effect of a conflict that retains many internally displaced persons (IDPs) with significant impact on neighbouring states that become hosts to refugees. For instance, the Somalia Humanitarian Dashboard as at January 2019, shows a 4.9 million food insecure people, 15 million people in crisis and emergency, 2.6 million people internally displaced in a total of 12.4 million¹². There were more than 2.2 million people living in displacement in the Lake Chad Basin as of the end of 2017¹³.

Consequences of Humanitarian Crises

Though with a reduction in intensities, several African countries are experiencing conflicts that regularly results in several human capital losses like deaths, untold number of wounded people, pandemics and diseases. Beyond such casualties are forced displacements with huge figures of internally displaced persons, refugees and other migrants. These are catastrophic developments that alter the capacity to produce and live meaningful lives. Significant loss of livelihoods and assets, including infrastructural damages and school closures hampering future growth and development.

The inability to produce adequately, if at all, results in food insecurity, poverty, malnutrition etc., leading to stunted children whose capacities to contribute to African development are radically lost.

Gaps in Humanitarian Action

It is not that disasters are not being addressed in Africa. As Aneson Ron Cadribo shows, the institutionalized approach to disaster management has seen the growth of National Disaster Management Agencies all over Africa. These entities assess and declare disasters on the basis of which funds are released and experts

¹²https://reliefweb.int/sites/reliefweb.int/files/resources/Somalia%20Humanitarian%20Dashboard_January2019_v3.5.pdf

Somalia Humanitarian Dashboard

<https://reliefweb.int/report/somalia/2019-somalia-humanitarian-response-plan-january-december-2019>

(OCHA, 20 Jan 2019)

¹³ ibid

support a recovery process. The gap in coordination on disasters is equally being reduced at the sub-regional levels by RECs with different operational capacities.

Governments and in instances, RECs, are being supported on multi-sectoral coordination approach by international entities like ICRC/IFRC, OCHA as well as NGOs/INGOs. As a way of collecting primary data and involving the AU Member States, a questionnaire was developed to solicit the views of AU Member States on the nature and types of disasters in their respective countries. The questionnaire also elicited the views of Member States on whether there were gaps for the AfHA to fill on humanitarian action in Africa. The response was poor in terms of the number of countries that answered the questionnaires but very rich enough to give guidance on the thinking of AU Member States. A plethora of complex disasters, including consequences of conflicts which themselves, many a time resulted from environmental problems, afflict Africa. The Member States validated the earlier findings of Aneson Rob Cadribo on the fact that there are lacunae on different aspects of humanitarian action in Africa. Of particular import is the realization that coordination and support gaps vis-à-vis the rest of the world exists and the AfHA would be in position to fill the gaps.

A similar questionnaire was sent to the Intergovernmental Authority on Development (IGAD) while the Economic Community of West-African States (ECOWAS) and Economic Community of Central African States (ECCAS) were visited for direct solicitations of their respective views. The regional organizations equally agreed that the AfHA is needed to handle continental level coordination that would also assist in ensuring interconnectivity and inter-operability in the handling of humanitarian problems in Africa.

5. THE AFRICAN HUMANITARIAN AGENCY

The African Union Humanitarian Policy Framework which was put in place in November 2015 noted a gap with respect to the coordination of humanitarian action in Africa. In clear terms, it was stated that:

In order to ensure timely and effective humanitarian action, AU activities should be complemented by appropriate coordination mechanisms within the African Union Commission, RECs and Member States; Red Cross and Red Crescent Movement. The Framework therefore, provides the AU and other humanitarian actors and stakeholders with the strategic approach and guidelines for enhanced capacity for prevention, preparedness, response and mitigation that address humanitarian situations.¹⁴

The AAU recognized that the establishment of AfHA is necessary to fill gaps that currently exist in the absence of a coordination entity for the responsibility of Member States and RECs on effective humanitarian action in Africa.

As the CAP clearly articulated: “Africa remains highly vulnerable to many natural and human-induced disasters, including conflicts, development projects, man-made and natural induced disasters such as drought, food and water insecurity, flooding, infrastructural failures and industrial accidents. This is only expected to worsen as the impact of climate change becomes more visible in Africa. Extreme poverty remains the principal multiplier of vulnerability by reducing the capabilities of communities and individuals to withstand adversities” and be more resilient to shocks.

5.1. Rationale

The operationalization of AfHA is consequent upon a decision of the African Union Assembly, the highest policy-making organ, as such it needs to be carried out. The implementation of this decision is crucial as a direct indication of the concern of the African Union for the plight of Africans in distress.

The realisation of AfHA in 2019 will also be a boost to the African Union’s declaration of 2019 as: “The Year of Refugees, Returnees and Internally Displaced Persons In Africa: Towards Durable Solutions to Forced Displacement”.

5.2. Options for Operationalising the Agency

There are many possible options on the operationalization of the AfHA. Two of these would include building of an AfHA that is represented and effective in all Member States as well as the realization of an AfHA that is strategic with light operational capabilities that benefits from resources at RECs and regional mechanisms.

Option One:

The first option, is to put in place AfHA as an entity with staff representation in all Member States and coordinated from a Headquarter of the Agency. This option would require in the minimum at the

¹⁴ Department of Political Affairs: Humanitarian Affairs, Refugees and Displaced Persons Division, “African Union Humanitarian Policy Framework,” November 20, 2015, p. 3.

commencement about 44 staff members at the Agencies headquarters and 165 on the ground. This would be a very expensive starting point.

Option Two:

The second option is to start with the Agency having 44 staff members at its headquarters and 16 staff members distributed to 5 RECs (with the humanitarian mandate) out of 8 RECs and 1 Humanitarian Officer added to the AU office in Geneva to undertake outreach to international humanitarian actors.

The second option is preferred. It can be reviewed after 5 years to see if the situation warrants a leaner or and expanded AfHA.

5.3. Functions of the African Humanitarian Agency

As pointed out earlier, an express mandate to establish the AfHA was given by the AU Assembly on January 30, 2016. On the basis of the wide consultations with Member States in a questionnaire, technical experts from Member States, leadership and pertinent operational experts of RECs, selective National Disaster Management Authorities of some Member States, leadership and experts of several intergovernmental institutions and especially the AHA Centre and CDEMA (yet to be visited) and many NGOs focused on humanitarian actions, the following functions are recommended for consideration by the decision-making structures of the African Union.

The expected functions of the AfHA includes, primarily collaboration, advocacy (leveraging on humanitarian law), coordination (analyzing and managing information), partnerships, capacity building and resource mobilization.

Empowerment and capacity building is very critical and needs to be emphasized. According to the Geneva Conventions (which one), the responsibility for the welfare of civilian populations rests with local authorities. AfHA working with UN, civil society and the Diaspora will implement strategies to build capacities of governments and local authorities and live up to their responsibilities¹⁵.

A decision of the AU Assembly is expected to follow a consultation process on the eight functions hereby recommended:

- The AfHA would collaborate with different levels in the regions and humanitarian actors to identify and map humanitarian problems on the continent.
- The AfHA is to play an advocacy role on humanitarian problems on the continent of Africa as the main global level partner of the global humanitarian community;
- The AfHA is to monitor, assess and develop as well as disseminate regular and comprehensive data and information on displacement and other humanitarian problems on the continent of Africa.
- AfHA is to provide strong coordination mechanism on humanitarian issues by developing partnership and coordination with Regional Economic Communities (RECs) especially linking up with Emergency Response and Assessment Teams; Regional Mechanisms; African Standby Force; Early Warning

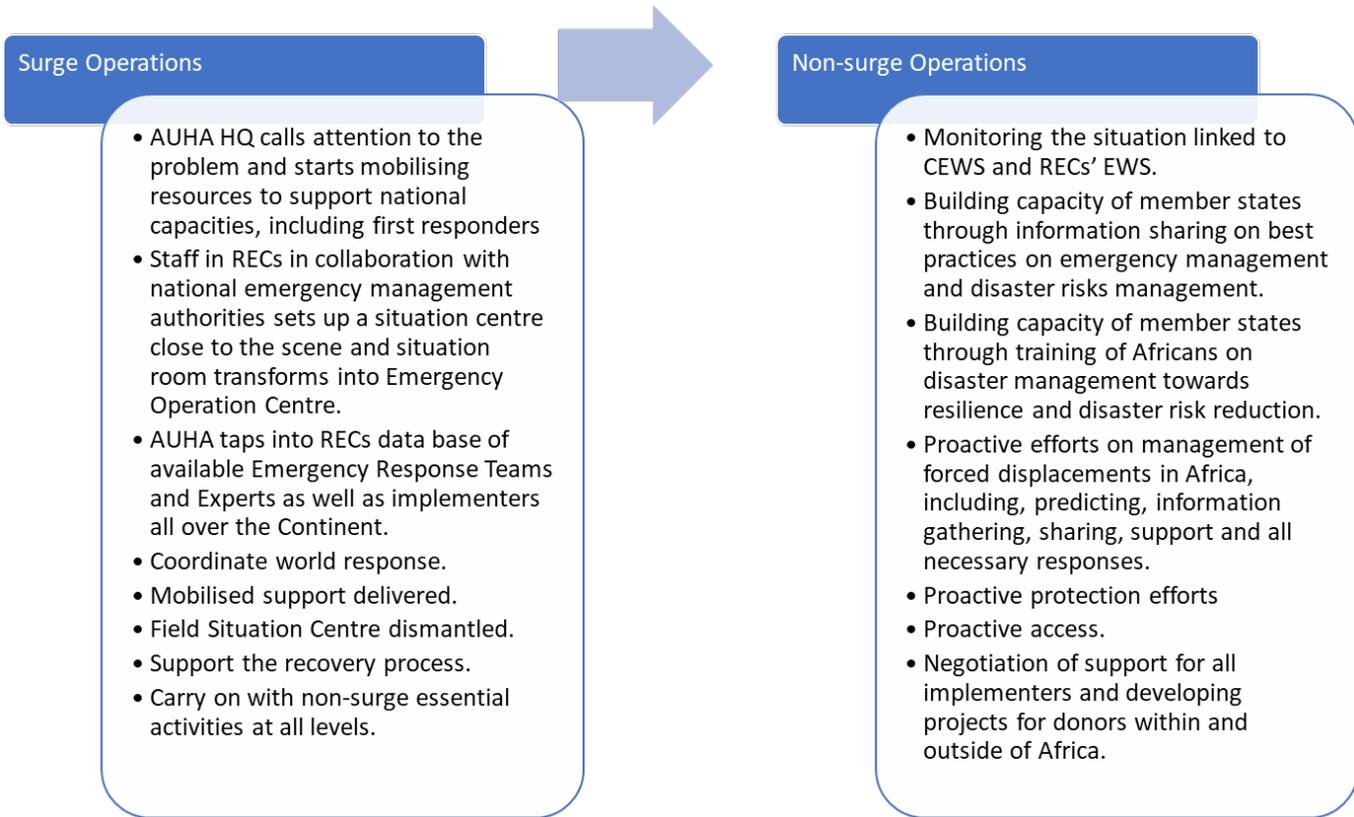
¹⁵<https://sites.tufts.edu/jha/archives/106>

Institutions; African Centre for Disease Control etc.; Member States; local communities; affected populations and international partners;

- AfHA is to promote and strengthen capacity of Member States through training and provision of support role, including the mobilization of resources within the continent and beyond, to RECs, Member States and to local level first responders;
- AfHA is intended to link with RECs, regional mechanisms and Member States, in building resilience through disaster risks reduction, addressing the causes of disasters and building on existing emergency response and assessment teams, data and synergise to ensure interconnectivity and inter-operability among regional mechanisms with one another, Member States and with AfHA as well as with other humanitarian actors as necessary;
- AfHA is expected to act in collaboration with RECs, RMs and AU Member States to elevate the visibility of the AU as it alleviates sufferings of persons affected by humanitarian crises;
- AfHA, through its activities would be expected to further the integration goal of the AU in line with Agenda 2063.

5.4. Surge and Non-Surge (Emergency/Non-emergency) Operations

The AfHA is expected to operate under two different modes depending on developments with respect to complex emergencies. Many a time, the AfHA would operate under normal circumstances. A lot would be required to be done to improve the capacities and capabilities of Member States and RECs on preparedness, response and reduction of disasters. Then comes those moments when there would be a surge in the activities of the AfHA in handling arising complex emergencies through the mobilization and coordination of resources and experts from Member States of the AU, of the UN and international institutions. These two different operational situations are put together below as surge versus non-surge situations.



5.5. Proposed Organisational Structure

The Humanitarian Affairs, Refugees and Displaced Persons Division of the Department of Political Affairs of the AUC will continue to play advisory role on policy and strategic issues at the AUC.

The proposed AfHA will have 60 staff members when fully operational. The AfHA will be under the supervision of a Board that is chaired by the Commissioner for Political Affairs and later in 2021, the Commissioner of Health, Humanitarian Affairs and Social Development. Membership of the Board will also include the Commissioners for Peace and Security and Rural Economy and Agriculture.

The AfHA would benefit from an advisory relationship with the Coordinating Committee on Forced Displacements and Humanitarian Action (CCAR) and report annually to the major organs of the AU.

In addition, the structure will set up offices in the five regional divisions of Africa. Since the AUC already maintains Liaison Offices at the Regional Economic Communities, five RECs with humanitarian mandate could serve as possible hosts of a composite AU presence that includes AfHA relational offices as a way to work closely with the RECs and directly engage member states in respective regions.

A Senior Humanitarian Affairs Officer will be stationed within the AUC office in Geneva and New York to maintain and deepen relations with the International Humanitarian Community.

The operationalization of the AfHA is suggested to be in three phases. The length of time that each phase takes would depend on the effectiveness of the Head of AfHA and the staff component at each preceding stage.

The AfHA is recommended to comprise the Office of the Head of the Agency; Disaster Risk Management and Mitigation Unit (this combines preparedness, response with disaster risk reduction to effectively bridge the humanitarian-development nexus); Forced Displacement Unit; Regional Monitoring and Relations Unit (this coordinates staff in the field and houses the Situation Room) and a support unit to handle all administrative and financial issues.

6. LEGAL IMPLICATIONS OF THE AfHA

The mandate for AfHA derives historically from the Constitutive Act of the African Union that replaced the Organization of African Unity through to the referenced AAU decision above. The AAU decision constitutes an expressly authoritative instruction to the African Union Commission (AUC), to establish the AfHA to undertake the necessary coordination and implementation of the humanitarian action from the Constitutive Act through to the PSC Protocol, the Framework on Humanitarian Policy as well as Agenda 2063.

Should any further mandate elaboration be deemed necessary, it should be a post-establishment effort to handle such issues like the seat of the AfHA and necessary Headquarters Agreement. Operating on the express mandate of the AAU, other operationalization issues, like functions of the AfHA, its structure and budget is to be handled within the normal AU Committees through to Decisions of the AAU that becomes part of the overall mandate of the AfHA.

7. FINANCING THE AGENCY

The approximate financial cost of the AfHA in its first five years is presented below with the understanding that the AUC Human Resources and Finance sections would still be required to finalize the staffing and costs in line with AUC standard operating procedures.

The requirement for a situation room that transforms into the Emergency Operations Centre during crisis cannot be overemphasized. It would serve as a regular base for linkage with the Continental Early Warning System, the Early Warning Systems of RECs, International Organizations like WMO and WHO with the capacity to provide forecasts and real-time developments on disasters of concern to the AfHA.

It is suggested that the equipment cost for the situation room be put in place in the second phase or second year of commencement of operations when there would have been some human resource capacities on the ground to make the huge investment in using knowledge to mitigate disasters that are worth the while. In addition, it is hoped that the permanent site of the AfHA would have been decided so that the situation room would not be relocated twice or more times.

AUHA Personnel Budget Posts - Annual Cost

No	Post	Grade	Annual Salaries and Benefits Cost				
			Year 1	Year 2	Year 3	Year 4	Year 5
Office of the Director General							
1	Director General	D1	175,670.44	179,256.44	182,840.66	186,428.43	190,012.65
1	Coordinator to the DG Office	P5	-	126,440.93	128,977.67	131,512.63	134,045.81
1	Gender Officer	P4	-	110,951.49	113,155.11	115,358.72	117,564.12
1	Special Assistant	P3	96,921.34	98,836.36	100,753.17	102,666.41	104,585.00
1	Resource Mobilisation Officer	P3	-	96,921.34	98,836.36	100,753.17	102,666.41
1	Communications Officer	P3	-	96,921.34	98,836.36	100,753.17	102,666.41
1	National Officer	P2	-	-	66,751.81	68,417.44	70,086.63
1	Administrative Assistant	GSA5	-	22,656.97	23,791.70	24,925.22	26,058.74
Secretariat - Administration and Finance							
1	Head	P4	110,951.49	113,155.11	115,358.72	117,564.12	119,767.73
1	Senior Officer	P3	-	-	96,921.34	98,836.36	100,753.17
1	Senior ICT Officer	P3	96,921.34	98,836.36	100,753.17	102,666.41	104,585.00
1	ICT Officer	P2	-	85,212.07	86,877.70	88,546.89	90,216.08
1	National Officer	P2	-	-	66,751.81	68,417.44	70,086.63
3	Administrative Assistant	GSA5	45,313.93	47,583.41	71,375.11	74,775.67	78,176.23
3	Drivers	GSB5	14,412.41	15,412.93	24,616.53	26,117.31	27,614.43
Disaster Risk Management & Mitigation Unit							
1	Head	P5	126,440.93	128,977.67	131,512.63	134,045.81	136,578.99
1	Principal Officer	P4	-	110,951.49	113,155.11	115,358.72	117,564.12
2	Senior Officer	P3	-	-	193,842.67	197,672.72	201,506.34
6	National Officer	P2	-	-	400,510.86	410,504.62	420,519.76
Forced Displacements Unit							
1	Head	P5	126,440.93	128,977.67	131,512.63	134,045.81	136,578.99
1	Principal Officer	P4	-	110,951.49	113,155.11	115,358.72	117,564.12
2	Senior Officer	P3	-	-	193,842.67	197,672.72	201,506.34
1	National Officer	P2	-	-	66,751.81	68,417.44	70,086.63
Regional Monitoring & Relations Unit/Situation Room							
1	Head	P5	126,440.93	128,977.67	131,512.63	134,045.81	136,578.99
1	Coordinating Officer	P4	-	110,951.49	113,155.11	115,358.72	117,564.12
2	Senior Officer	P3	-	-	193,842.67	197,672.72	201,506.34
1	National Officer	P2	-	-	66,751.81	68,417.44	70,086.63
Geneva Office							
1	Senior Officer	P3	-	-	114,901.10	117,052.23	119,205.35
Western Africa Office							
1	Senior Officer	P3	-	-	100,972.49	103,031.80	105,093.03
1	National Officer	P2	-	-	70,805.71	72,596.83	74,391.78
1	Administrative Assistant	GSA5	-	-	22,656.97	23,791.70	24,925.22
1	Driver	GSB5	-	-	7,206.21	7,706.47	8,205.51
Central Africa Office							
1	Senior Officer	P3	-	-	88,925.87	90,814.67	92,705.22
1	National Officer	P2	-	-	63,837.07	65,479.88	67,126.20
1	Administrative Assistant	GSA5	-	-	22,656.97	23,791.70	24,925.22
1	Driver	GSB5	-	-	7,206.21	7,706.47	8,205.51
Eastern Africa Office							
1	Senior Officer	P3	-	-	91,076.17	92,938.73	94,803.02
1	National Officer	P2	-	-	63,966.06	65,586.05	67,209.51
1	Administrative Assistant	GSA5	-	-	22,656.97	23,791.70	24,925.22
1	Driver	GSB5	-	-	7,206.21	7,706.47	8,205.51
Southern Africa Office							
1	Senior Officer	P3	-	-	93,485.15	95,426.41	97,369.48
1	National Officer	P2	-	-	66,237.05	67,925.50	69,617.55
1	Administrative Assistant	GSA5	-	-	22,656.97	23,791.70	24,925.22
1	Driver	GSB5	-	-	7,206.21	7,706.47	8,205.51
Northern Africa Office							
1	Senior Officer	P3	-	-	95,892.29	97,833.55	99,776.61
1	National Officer	P2	-	-	66,959.20	68,647.64	70,339.70
1	Administrative Assistant	GSA5	-	-	22,656.97	23,791.70	24,925.22
1	Driver	GSB5	-	-	7,206.21	7,706.47	8,205.51
60	Total Proposed Regular Budget Posts		919,513.74	1,811,972.23	4,292,516.95	4,391,134.80	4,489,817.49

Estimated Administrative, Operational and Program Costs

No	Description	Annual Costs				
		Year 1	Year 2	Year 3	Year 4	Year 5
I	Staff Costs	919,513.74	1,811,972.23	4,292,516.95	4,391,134.80	4,489,817.49
a	DG and support staff	540,190.95	1,092,184.75	1,376,597.21	1,407,739.40	1,438,885.04
b	Programme staff	379,322.79	719,787.49	2,915,919.74	2,983,395.40	3,050,932.45
II	Program Costs	1,025,000.00	5,255,000.00	1,975,000.00	1,975,000.00	1,951,000.00
a	Capacity Building	600,000.00	800,000.00	1,400,000.00	1,400,000.00	1,400,000.00
i	Training opportunities for AUHA staff	200,000.00	200,000.00	200,000.00	200,000.00	200,000.00
ii	AUHA training of REC/member-states	400,000.00	600,000.00	1,200,000.00	1,200,000.00	1,200,000.00
b	Volunteer Emergency Response Teams (VERT)	150,000.00	180,000.00	200,000.00	200,000.00	176,000.00
i	VERT Database	150,000.00	180,000.00	200,000.00	200,000.00	176,000.00
c	Meetings	275,000.00	275,000.00	275,000.00	275,000.00	275,000.00
i	Annual AUHA meetings w/ member states	75,000.00	75,000.00	75,000.00	75,000.00	75,000.00
ii	Consultative meetings with Coordinating Committee on Forced Displacement and Humanitarian Action	200,000.00	200,000.00	200,000.00	200,000.00	200,000.00
d	Situation Room/Emergency Ops. Centre	-	4,000,000.00	100,000.00	100,000.00	100,000.00
III	Operational and Administrative Costs	1,165,200.00	698,210.00	614,128.00	630,824.00	643,012.00
a	Purchase of Fixed Assets	580,000.00	100,000.00	-	-	-
i	Vehicles	480,000.00	-	-	-	-
ii	Furniture & Fixtures	50,000.00	50,000.00	-	-	-
iii	Office Equipment	50,000.00	50,000.00	-	-	-
b	Communications	38,400.00	40,320.00	42,336.00	44,452.00	46,678.00
i	Internet Services	24,000.00	25,200.00	26,460.00	27,784.00	29,172.00
ii	Telephone & Fax	7,200.00	7,560.00	7,938.00	8,334.00	8,752.00
iii	Postage	2,400.00	2,520.00	2,646.00	2,778.00	2,918.00
iv	Freight Charges	2,400.00	2,520.00	2,646.00	2,778.00	2,918.00
v	Newspapers & Periodicals	2,400.00	2,520.00	2,646.00	2,778.00	2,918.00
c	Travelling Expenses	430,000.00	435,250.00	443,016.00	451,162.00	454,638.00
i	DG's official missions	280,000.00	280,000.00	280,000.00	280,000.00	280,000.00
ii	Research missions	30,000.00	31,500.00	33,076.00	34,728.00	36,466.00
iii	Experts missions	45,000.00	47,250.00	49,614.00	52,092.00	52,092.00
iv	Advocacy	45,000.00	45,000.00	47,250.00	49,614.00	49,614.00
v	Resource mobilization missions	30,000.00	31,500.00	33,076.00	34,728.00	36,466.00
d	Rental & Maintenance	15,600.00	16,380.00	17,200.00	18,058.00	18,684.00
i	Rental of vehicles	4,000.00	4,200.00	4,410.00	4,630.00	4,862.00
ii	Maintenance of vehicles	4,800.00	5,040.00	5,292.00	5,556.00	5,834.00
iii	Maintenance of Equipment	4,800.00	5,040.00	5,292.00	5,556.00	5,556.00
iv	Maintenance of Premises	2,000.00	2,100.00	2,206.00	2,316.00	2,432.00
e	Stationery and Office Supplies	48,000.00	50,400.00	52,922.00	55,566.00	58,346.00
i	Stationery & Office Supplies	18,000.00	18,900.00	19,846.00	20,838.00	21,880.00
ii	Printing of Publishing	20,000.00	21,000.00	22,050.00	23,152.00	24,310.00
iii	Library & Books services	10,000.00	10,500.00	11,026.00	11,576.00	12,156.00
f	Other Operating Expenses	53,200.00	55,860.00	58,654.00	61,586.00	64,666.00
i	Utilities (water and electricity)	7,200.00	7,560.00	7,938.00	8,334.00	8,752.00
ii	Property insurance	10,000.00	10,500.00	11,026.00	11,576.00	12,156.00
iii	Fuel and Lubricants	24,000.00	25,200.00	26,460.00	27,784.00	29,172.00
iv	Bank Charges	2,400.00	2,520.00	2,646.00	2,778.00	2,918.00
v	Miscellaneous Expenses	9,600.00	10,080.00	10,584.00	11,114.00	11,668.00
Total		3,109,713.74	7,765,182.23	6,881,644.95	6,996,958.80	7,083,829.49
	Contingency 5%	155,485.69	388,259.11	344,082.25	349,847.94	354,191.47
	Immediate response fund 5%	155,485.69	388,259.11	344,082.25	349,847.94	354,191.47
	Grand Total	3,420,685.11	8,541,700.45	7,569,809.45	7,696,654.68	7,792,212.44

Sources of Funding

The mandate for the AfHA had placed emphasis for the funding of the organization coming from within Africa. With appropriate political will, especially at the AU decision-making structures, this intention of the founding fathers of the AfHA is easily achievable. In order to get off the ground, AfHA must depend on the regular budget of the AUC. With such firm backing, it would be possible for the AfHA to explore additional and creative sources of funding. It is envisaged that the operationalization of the AfHA will also elicit the interest of Member States and increase the willingness on their part to effect the commitment to the Sendai provision of the devotion of 1.5% of national budget to disaster risk reduction. The AfHA will be an advocate for Member States to subscribe to the Africa Risk Capacity on the basis of potential humanitarian crises that would have been mapped.

The sources being recommended for funding in the first five years of the AfHA operations could include but not limited to the following:

- Staff salaries and related benefits as well as staff logistics needs will be covered by the AUC (Member States), including transformation of some current posts at AUC;
- Resources from the Government opting to host the AfHA at least over its first five years;
- Resources from AU Special Emergency Assistance Fund;
- Resources from Specific Appeals Processes;
- Resources from 1.5% of GDP (Sendai) set aside for national Humanitarian Actions;
- Resources from Disaster Risk Insurance;
- Project Resources from the African Private Sector;
- Project Resources from international donors.

After gaining credibility and establishment of trust, AfHA may offer fee based services as a way to improve its self-sufficiency. The following could be revenue generating mechanisms:

- Fee based services, especially on services provided to the private sector on disaster risk forecasting and analysis of data;
- Publications;
- Sponsorship by donors/international development partners, etc.

Partnerships for AfHA

The AfHA would be expected to build two different types of partnerships that are not mutually exclusive. There would be partners that AfHA must collaborate with during operations. There are also partners who are in a position to combine operational collaboration with all sorts of material resource supports. Discussions with some UN Agencies demonstrated that some of them are in a position to support the AfHA come off the ground after a MoU covering strategic and operational partnerships would have been signed. There is a willingness to provide capacity building including offer of staffing support, training in and designing of surge response as well as supply-chain management, including access to warehouse capacities as AfHA builds, preferably in contiguous locations to take advantage of scales and available expertise.

The broad categorization of partners being suggested for consideration in the two types of partnerships are enumerated in the two categories listed below:

- Regional Economic Communities
- National Forces/African Standby Force
- Regional Mechanisms like Search and Rescue Capacities/Warehouses

- National Emergency Disaster Management Institutions, including local responders
- UN Institutions with Humanitarian Mandates
- Inter-Governmental Bodies with Humanitarian Mandates
- Local/International Non-Governmental Bodies with Humanitarian Mandates
- Africa and National Space Agencies
- National/International Weather Forecast Agencies
- Africa CDC and National CDCs

Partners on Resource Support

- AU Peace Fund
- IFIs, including World Bank and AfDB
- UN and Other Intergovernmental and Non-Governmental Institutions on capacity-building and support
- Africa Risk Capacity
- NEPAD
- African/Multi-National/National Private Sector Entities
- Willing Donors

8. CONCLUSION

The growing humanitarian crisis, disasters resulting from man-made and natural factors, with damaging effect on the wellbeing of nationals of Africans, called for the review of humanitarian response in Africa. The trend has also increasingly reflected certain gaps/lacunae even in the various existing agencies—regional, national and even development NGOs working to ameliorate the sufferings of humanity in situations of disasters.

The AAU, saw the need and indeed gave the mandate for a continental approach, a Pan-African, indigenous, independent, innovative, self-driven and funded agency to compliment and coordinate the handling of humanitarian affairs in Africa.

In line with best global practices, suitability for the current reality, bearing in mind the changing patterns of disaster, and disaster monitoring and response, this study has provides a road map towards the operationalization of an African Humanitarian Agency which it proposed to be called the African Union Humanitarian Agency. The study is very detailed and put forward to allow for possible changes, twists and modifications for best practices, cost, and efficiency as it is rolled out.

Findings and recommendations in the study came from eclectic sources. An extensive study of relevant literature, first to understand the state of humanitarian crisis in Africa, then the situation in other continents and collective action in the names of multiple organized Member States. There were also various consultations, meetings, interviews and administration of questionnaires to sample the views of relevant stakeholders in coming up with a model that truly reflects the reality on the ground and well suited for the stated objective.

The functions of the AfHA is clearly stated as a nexus of humanitarian and development, coordination and driving, knowledge sharing, partnerships, bank of innovations, and a readily on the ground agency on tackling disasters on the African Continent.

The study bears in mind the situation in Africa: ravaging poverty, hunger and climatic realities posing a factor in the depth of crisis in Africa. The three-phased structural arrangement with lean drawing on regular funding from the AU and use of resources from willing others constitute a confident road map to the African Union in bridging the gaps in response to complex humanitarian problems in Africa.

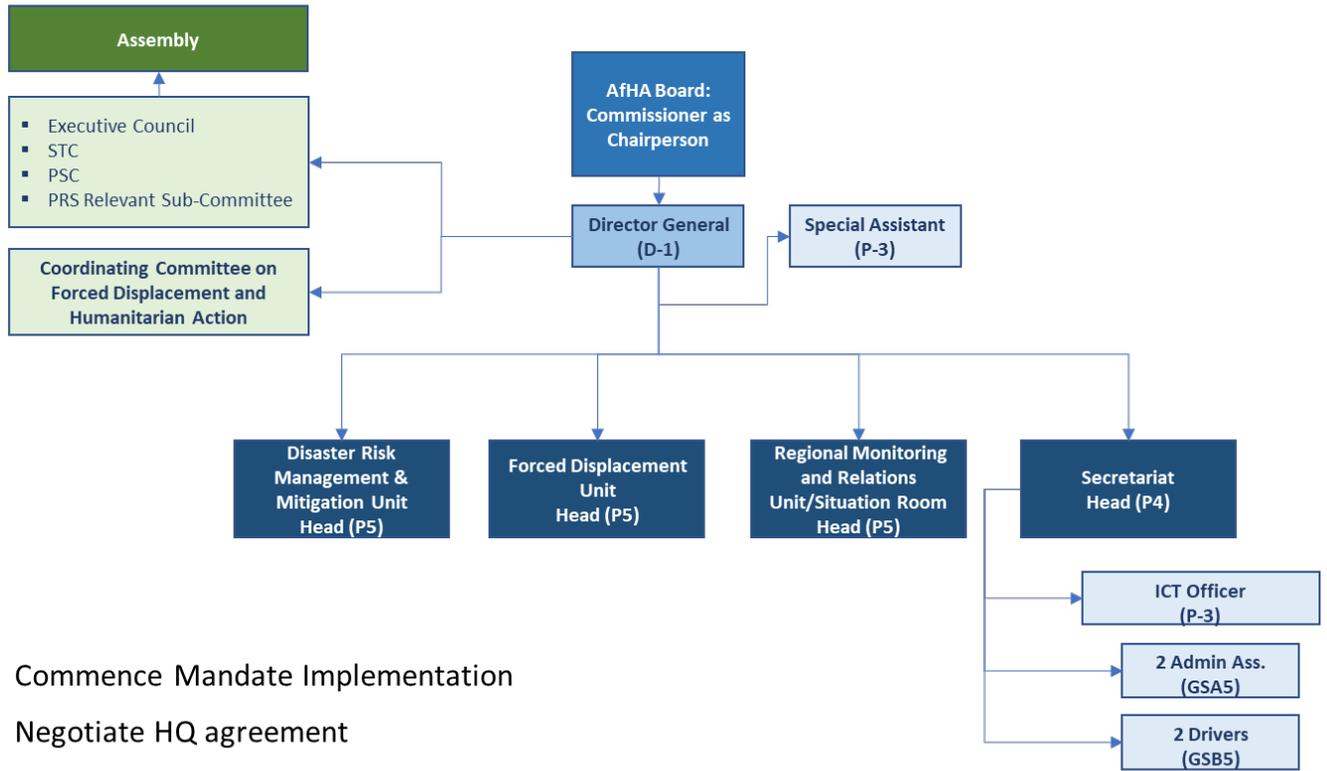
9. RECOMMENDATIONS

1. Finalize this report and especially AfHA proposed budget in line with AUC SOPs
2. Submit report and accompanying budget to appropriate appropriation Committees speedily to meet submission to the June 2019 Summit.
3. Commence consultations on AU member States with regarding to host AfHA HQ and Field Offices and HQ Agreement.
4. Prepare ToR and recruit the Head of the AfHA and thereafter prepare ToRs and recruit AfHA other staff members.
5. Commence consultations and realise MoUs with all necessary and willing Stakeholders.
6. Prepare the budget for Phase II to include the putting in place of the Situation Room.
7. Set up modalities for relating with RECs, Member States and other Stakeholders.
8. Position the AfHA as a central part of the humanitarian ecosystem in Africa, bearing in mind the other stakeholders.
9. Develop an operational manual and SoPs for the AfHA, including its Operations Centre
10. Make the AfHA open to consultations, mentoring and support of relevant agencies in Africa.

10. APPENDIX

AfHA Organisational Structure

Phase I



- Commence Mandate Implementation
- Negotiate HQ agreement
- Move from Addis Ababa to host country

AfHA Organisational Structure (cont'd)

Phase II

