

DRAFT

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

SUBMITTED TO:

THE DEPARTMENT OF POLITICAL AFFAIRS, THE AFRICAN UNION COMMISSION

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ACRONYMS

| | |
|--------|---|
| AU | African Union |
| AUC | African Union Commission |
| AUHA | African Humanitarian Agency |
| 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 |
| ERT | Emergency Response 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 Partnership for Africa's Development |
| OCHA | Office for the Coordination of Humanitarian Affairs |
| NGO | Non-governmental Organization |
| SADC | Southern African Development Community |
| UNESCO | United Nations Educational Scientific and Cultural Organisation |
| UNHCR | United Nations High Commissioner for Refugees |

| | |
|--------|--|
| UNISDR | United Nations International Strategy for Disaster Reduction |
| VERT | Volunteer Emergency Response Teams |
| WFP | World Food Programme |
| WHO | World Health Organization |
| WMO | World Meteorological Organization |

1. 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 Common African Position on Humanitarian Effectiveness expressly decided to: “establish an African Humanitarian Agency (AUHA) 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 AUHA as per the above decision of the AU Assembly.

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 AUHA.

The study justifies the need for an AUHA, 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 AUHA 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 AUHA.

The AUHA 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 AUHA 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 AUHA 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 AUHA by many Member States who were consulted on best practices as well as views on how AUHA should operate. Consultations with many RECs, Inter-Governmental Organisations and Civil Society Organisations as well as a visit to ASEAN Humanitarian Agency (AHA) were very helpful.

¹ A copy of the Decision is attached as an annex

The first option is to have AUHA 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 39 staff members, including 10 distributed to 5 Regions of Africa.

The second option is preferred. It can be reviewed after a few years to see if the situation warrants a leaner or an expanded AUHA.

The functions of the AUHA 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 AUHA. The eight functions of the AUHA 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.

The study proposes the AUHA 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 (this would focus on refugees; IDPs and returnees);
- 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. It is recommended that the AUHA should operate under a board made up of 1 Member State from each of the 5 Regions of the AU as well as the Commissioners of Political, Social and Peace and Security Affairs. A Chair for the Board could be a knowledgeable and capable African personality on Humanitarian Affairs as well as 2 representatives of African Civil Society are to be appointed by the AUC Chairperson.

The AUHA would operate in emergency/non-emergency (surge and non-surge) modes.

1.1. 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, in consultation with Member States, 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 Department under the current AU Reform process.

The Assembly of the African Union in its Decision Assembly/AU/Dec.604 (XXVI) of 30 January 2016, in Addis Ababa, Ethiopia adopted a Common African Position 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 Assembly of the African Union 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 Assembly of the African Union 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.²

When operationalized, the AUHA would be expected to fill a major lacuna in humanitarian action in Africa by providing , (as its primary mandate), 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 AUHA is expected to have on the ground presence in humanitarian operations as a secondary mandate 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 AUHA, is expected to provide, upon the request of Member States and respective relevant national authorities, support and intervene on as needed basis when nationals of Member States face dire situations. In effect, AUHA will combine a heavy strategic orientation with a light footprint on operations.

1.2. The Legal and Policy Instruments

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

² A copy of the Decision is attached as an annex

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 Document³ 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.

Common African Position 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

It is important to note that the Common African Position on Humanitarian Effectiveness 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 Common African Position on Humanitarian Effectiveness 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 *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. 6971.

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

⁵ *Ibid*, para 30

Other AU Shared Values Instruments:

- a. *The Protocol Relating to the establishment of the AU Peace and Security Council (Article 6(b)(e)(f), Article 12(4), Article 13(f) and Article 15)*
- b. *The 1981 African Charter on Human and Peoples' Rights⁶ and its Protocol on the Rights of Women*
- c. *The 1996 African Charter on the Rights and Welfare of the Child;*
- d. *The Protocol to the African Charter on the establishment of an African Court on Human and People's Rights⁷*
- e. *The 1969 OAU Convention Governing the Specific Aspects of Refugee Problems in Africa⁸*
- f. *The 2009 AU Convention for the Protection and Assistance of Internally Displaced Persons in Africa⁹*
- g. *AU Guidelines on the Protection of Civilians in Peace Support Operations*
- h. *The AU Policy on Post-Conflict Reconstruction and Development (PCRD)*
- i. *Humanitarian Policy Framework*

1.3. Principles and Shared Values

In the decision to establish the AUHAAUHA, the AAU expressly guided that the architecture be “anchored on principles of pan-Africanism and African shared values”. Some of the relevant principles and values are stated above. However, these guiding principles and values had earlier been stated in the African Humanitarian Policy Framework. These as replicated below, should guide the work of the AUHA:

- a. Humanitarian Principles: humanity, impartiality, independence and neutrality;
- b. State Responsibility: the primary role and responsibility of States to protect and assist affected populations within their territory;
- c. Compliance: Commit to adhere to established international norms and standards including Guidelines and Codes of Conduct recognized by the African Union;

⁶ African Charter on Human and Peoples' Rights, (Adopted 27 June 1981, OAU Doc. CAB/LEG/67/3 rev. 5, 21 I.L.M. 58 (1982), entered into force 21 October 1986)

⁷ Adopted on 10 June 1998 and entered into force on 24 January 2004 in its articles 2 and 3.

⁸ Adopted on 10 September 1969, entered into force on 27 June 1974.

⁹ Adopted by the Special Summit of the AU held in Kampala, Uganda, on 22 October 2009. Entered into force on 6 December 2012

- d. Non-indifference: conformity with the relevant provisions contained in the Constitutive Act of the African Union;¹⁰
- e. Solidarity: African customary extension of hospitality/egalitarianism and solidarity with persons in situation of need and distress is institutionalized as an integral part of humanitarian response.
- f. Accountability: Transparency and humanitarian standards for accountability must apply to all humanitarian actions;
- g. Participation and Ownership: Affected populations/communities are the cornerstone of the planning and decision-making processes in humanitarian response.
- h. Subsidiarity and Complementarity: between African Union Commission, other Organs of the African Union, Member States and RECs, the UN and other actors and stakeholders;
- i. Gender mainstreaming: All activities must take into account the gender dimensions of humanitarian action;
- j. Groups in vulnerable situations and People with Special Needs: All activities must take into account the dimension relevant to women and groups in vulnerable situations, especially, children, youth, the elderly and people with special needs;
- k. Non-Violability of Humanitarian workers, infrastructure and facilities: Humanitarian workers are to operate in a safe and secure environment, free of threat and/or intimidation; in accordance with national legislations, access and protection and respect for infrastructure and facilities;
- l. Support to host communities: Humanitarian interventions shall take into account the impact on host communities as a result of hosting displaced populations and take such measures to alleviate the impact;
- m. African Union Guidelines for humanitarian action to reflect SPHERE Standards principle.

1.4 Objectives of the Study

The overall objective of the study is to assess and offer advice on the operationalization of an AUHA 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:

¹⁰ AU Constitutive Act, Art 4. h, i & j.

- 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.

1.5 Methodology

In executing the task of operationalizing of the AUHA, 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 AUHA 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”¹¹ This had been followed by several works, including the “African Union Humanitarian Policy Framework”,¹² which was put in place on the eve of the AU Assembly Decision on the “Common African Position on Humanitarian Effectiveness”, that was submitted to the World Humanitarian Summit. Also of relevance is the Agenda 2063 providing strategic guidance on Africa’s longterm 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 Symposium 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 AUHA 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 AUHA should operate at their respective Headquarters.

Several exchanges at the AUC DPA and beyond with many principal officials of the AU, including the Directors of Africa CDC and Director-General AU Space Agency, partners like: United Nations High Commissioner for Refugees, WFP, OCHA, WHO, WMO, United Nations Economic, Scientific and Cultural Organization, ICRC, World Vision, ICVA and NRC. In addition were dialogues with international and African

¹¹ Aneson Ron Cadribo, “Compilation of an Inventory and Data Base on Disaster Risk Management and Humanitarian Frameworks, Policies and Legislation in Africa”, 2014.

¹² Department of Political Affairs, “African Union Humanitarian Policy Framework”, 2015.

NGOs led by ICVA at the sidelines of the 6th Humanitarian Summit as well as with ICVA leadership in Geneva. Significant were direct consultations with some RECs on the study to operationalize the AUHA. 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 AHA demonstrated the importance of visionary leaders whose clarity of purpose helped in carefully negotiating international partnerships over time as capacities were built on the ground as international tutelage reduced. AHA demonstrated the import of real time technological hooking up of member states with the AHA headquarters. It is important that the technological support was supported by a donor outside the region as another donor from the region took care of maintenance and project funds. A lot of effort being put into training for ERATs at member states level was very positive. It should be noted, however, that the membership of 10 is very small and less complex to manage in contradistinction with the 55 member states of the African Union. Furthermore, AHA was happy to learn about the focus at the African Union Commission that involves complex emergencies. AHA, is just beginning to steer towards complex emergencies as it tries to respond to the situation in Myanmar.

Several visits to many RECs and similar entities like AHA that were planned by the Consultant could not hold for many reasons. This is a short coming of the study. However, a lot could be benefitted from seeking synergy with ECOWAS, ECCAS and other RECs that have developed Emergency Response Teams. ECOWAS had recently refined its list of Early Warning indicators and AUHA could build from this.

1.6 SWOT Analysis

SWOT analysis was initially expected to be undertaken involving the Commission, Member States and RECs, as well as stakeholders to deepen conceptual and political underpinning of the proposed Agency. However, a SWOT Analysis could not be called by the AUC. A SWOT Analysis could eventually be done as part of a post operationalization review.

2. HUMANITARIAN SITUATION 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 others¹³ 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.¹⁴

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 Madagascar¹⁵. 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

¹³ See, Carl-Friedrich Schlessner, 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

¹⁴ See, Mahmood Mamdani, *Saviors and Survivors: Darfur, Politics and the War on Terror*, (Three Rivers Press, 2010)

¹⁵ Madagascar – Several Dead After Floods and Landslides Cause Buildings to Collapse in Antananarivo FloodList <http://floodlist.com/africa/madagascar-floods-antananarivo-january-2019>

already soaked Malawi and Mozambique¹⁶. The landing of Cyclone Idai on March 15, 2019 has resulted in 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. Somalia, Libya, South Sudan, Central African Republic, Mali, Lake Chad Basin (Niger, Nigeria, Chad and Cameroun) are some examples of crisis and conflict spots. Darfur in Sudan is equally important. It is 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 million¹⁷. There were more than 2.2 million people living in displacement in the Lake Chad Basin as of the end of 2017¹⁸.

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.

¹⁶ 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)

¹⁷

https://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)

¹⁸ ibid

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 support a recovery process. The gap in coordination on disasters is equally being reduced at the subregional 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 AUHA to fill on humanitarian action in Africa. The response was poor in terms of the number of countries that answered the questionnaire 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 AUHA 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 AUHA 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.

The main responsibility for humanitarian action in Africa rests with the nation state. Nonetheless and as a result of weak capacity, many other actors are stakeholders with respect to humanitarian action. Several local and international civil society organisations serve as implementation entities for Governments of other countries like USAID or for collection of countries like ECHO for the European Union.

These donors largely provide support through NGOs on the basis of their respective perception of needs of respective countries without a consultative process on the continent. In some cases the UNOCHA appeal processes receive some funding. However, the AUHA would be expected to consult with AU Member States towards synchronization of positions on humanitarian action on the continent towards coordinated African positions.

A good number of the civil society entities as implementers are coordinating their activities through ICVA. It becomes easier for AUHA to work at the strategic level with representatives of the NGO community.

3. THE AFRICAN HUMANITARIAN AGENCY

At the strategic level, a lot is desirable with respect to humanitarian action in Africa. Though UN Office of Coordination for Humanitarian Affairs tries, there remains a lacuna on the coordination of humanitarian delivery. The African Humanitarian Agency would be expected to operate at the strategic level to compliment and strengthen the week coordination arrangement that exists today.

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”.*¹⁹

The Assembly recognized that the establishment of AUHA 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 Common African Position on Humanitarian Effectiveness clearly articulated: *“Africa remains highly vulnerable to many natural and human-induced disasters, including conflicts, development projects, manmade 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”*²⁰ and be more resilient to shocks.

However, it is important to emphasise that the AUHA would operate within the existing global humanitarian architecture. The AUHA would be expected to study this architecture and engage with it as it carves out its own niche. The AUHA would work with Regional Mechanisms and Member States to coordinate humanitarian action on the continent by providing the platform for dialogue and action for the amelioration of natural and man-made disasters. In this regard, AUHA is expected to develop standards on the basis of collaboration with stakeholders and make the work of current coordinating arrangements more focused.

Justification

The rationale for the Agency is premised on the 2016 Common African Position on Humanitarian Effectiveness in Africa. In this document, the justification for an African Humanitarian Agency was much agreed upon by African leaders. The relevant portion reads as follows: We recognize the imperative need for an appropriate continental architecture to effectively respond and coordinate humanitarian crises on the continent, as a basis for the AU’s leadership role. We particularly note that a lack of such a continental humanitarian framework has hindered effective humanitarian action.

¹⁹ Department of Political Affairs: Humanitarian Affairs, Refugees and Displaced Persons Division, “African Union Humanitarian Policy Framework,” November 20, 2015, p. 3.

²⁰ African Union, “Common African Position (CAP) on Humanitarian Effectiveness, 2016, paragraph 20, p. 17.

We also note that indeed the global and continental humanitarian systems are overstretched and require reform to enable them to be fit for the purpose for which they are intended.

We therefore endorse and commit to appropriate reforms, and to be fully engaged in the process to create effective and timely ways of humanitarian action on the continent and at the global level.

We are convinced that to achieve this objective Africa needs to establish its own African Humanitarian Agency to 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

We acknowledge that while highlighting the primary responsibility of the State, humanitarian action shall reflect a collective responsibility extending to regional, continental and international actors. Therefore, the private sector, the diaspora, Civil society, and the youth and all segments of African society shall be involved as partners in providing humanitarian assistance in collaboration with the Agency, without prejudice to sovereignty of States or to international law.²¹

3.1. Options for Operationalizing the Agency

There are many possible options on the operationalization of the AUHA. Two of these would include building of an AUHA that is represented and effective in all Member States as well as the realization of an AUHA 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 AUHA 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 29 staff members at the Agencies headquarters and 165 on the ground.

This option would boost the presence of the AU in all its Member States. It would aid information gathering for many purposes like planning and two-way communication with Member States. However, it would be a very expensive starting point. The AU may not be in a position to meet such costs and could achieve the same objective by relying more on technology as well as partnering with other Regional Mechanisms as envisaged by the Assembly in its Decision on AUHA.

²¹ *Ibid.*, para 71-76, pp. 27-28.

Option Two:

The second option is to start with the Agency having 29 staff members at its headquarters and 10 staff members distributed to 5 Regions of Africa.

The second option is preferred. It comes closest to the intention of having AUHA more involved with regional mechanisms and Member States of the AU. It reduces costs and does not sacrifice field involvement since AUHA staff members can easily move within the designated regions and with technology realise strong involvements with focal points at the 5 regions and Member States.

Cost is of significance for the AU. Option two is also preferred because it would build partnerships with Regional Mechanisms as envisaged by the Assembly. Preferred option two can be reviewed after a few years to see if the situation warrants a leaner or an expanded AUHA.

3.2. Mandate and Functions of the African Humanitarian Agency

Vision

To proactively, in close collaboration with Member States, boost resilience and deliver Africa's humanitarian action, to all people affected by humanitarian crises on the continent".

Mission

To provide AU leadership in humanitarian actions with respect for complementarity and subsidiarity, whenever there is a request from an AU Member State.

Mandate

AUHA AUHA

The mandate of AUHA shall be to:

- a) ensure effective coordination of humanitarian action in the Continent.
- b) Strengthen the capabilities and capacities of AU Member States and Regional Bodies and Mechanisms in responding to and resolving humanitarian crises.

Strategic Objectives

The Agency will have the following (four) strategic Objectives:

- a. To predict situations that can result to humanitarian crises through early warning systems
- b. To ensure timely and effective response through building and strengthening capacities of continental, regional and national mechanisms
- c. To design strategies for building adaptation, resilience and preparedness at national and local level for effective response to humanitarian crises

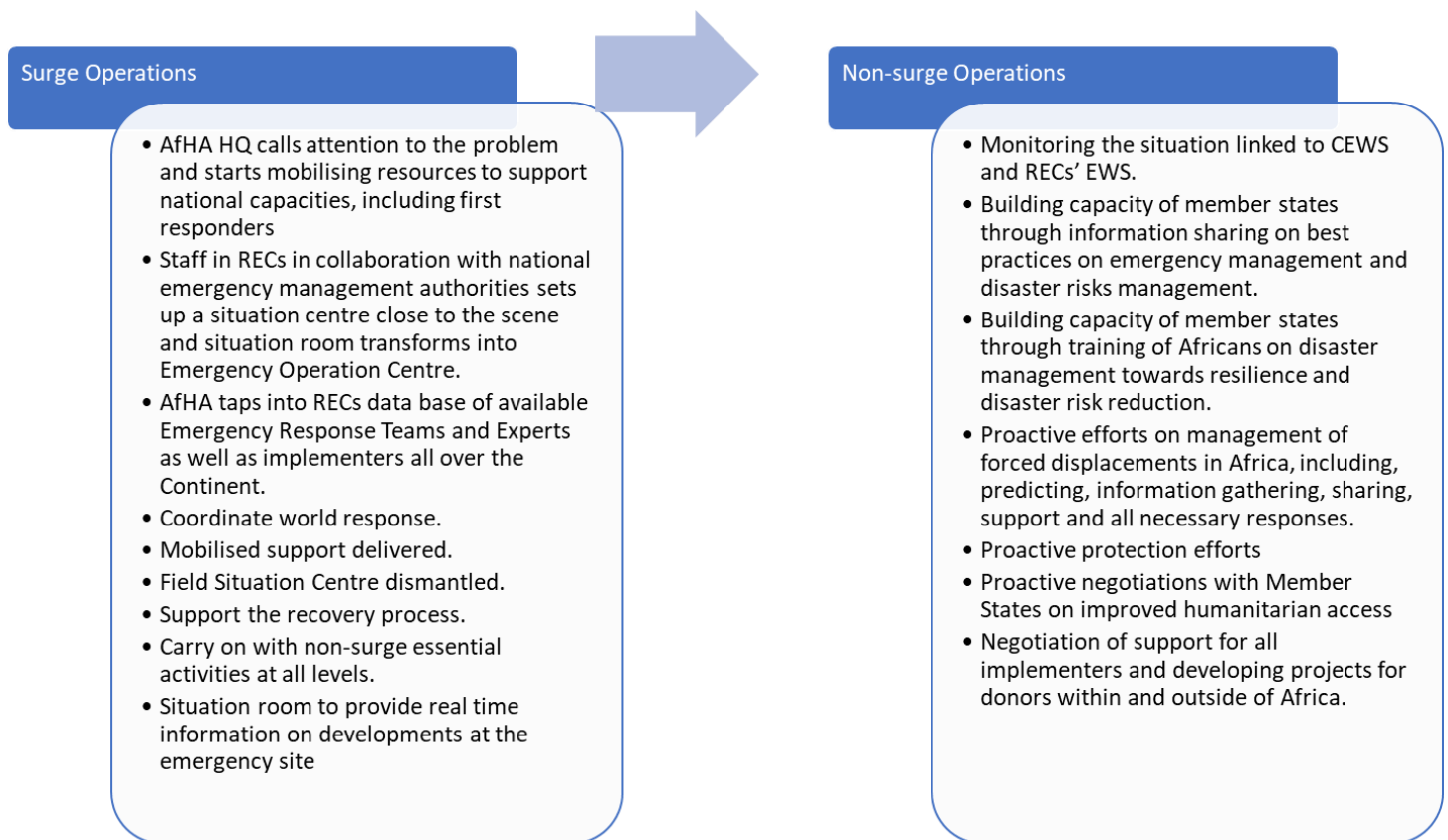
Functions

In fulfilment of its primary and secondary mandates, the Agency will undertake the following functions;

- The AUHA would collaborate with different levels in the regions and humanitarian actors to identify and map humanitarian problems on the continent.
- The AUHA 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 AUHA is to monitor, research, assess and develop as well as disseminate regular and comprehensive data and information on displacements, including returnees and other humanitarian problems on the continent of Africa.
- AUHA is to provide strong coordination mechanism on humanitarian issues by developing partnerships and coordination relations with Regional Economic Communities (RECs) especially linking up with their Emergency Response and Assessment Teams; Regional Mechanisms; African Standby Force; Early Warning Institutions; African Centre for Disease Control etc.; Member States; local communities; affected populations and international partners;
- AUHA 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 its civil protection organisations, including red cross and red crescent movements and to local level first responders as well as African civil society organisations;
- AUHA 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 AUHA as well as with other humanitarian actors as necessary;
- AUHA 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;
- AUHA, through its activities would be expected to further the integration goal of the AU in line with Agenda 2063.

4.8 Surge and Non-Surge (Emergency/Non-emergency) Operations

The AUHA is expected to operate under two different modes depending on developments with respect to complex emergencies. Many a time, the AUHA 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 AUHA 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.



4.9 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 AUHA will have 39 staff members when fully operational. Roles and responsibilities to be defined after structure is approved. The Division of labour is by thematic areas. The AUHA 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. Alternatively, the Chair could be an elected person from a Member State or an appointed Eminent Personality by the AUC Chairperson.

The AUHA 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 be to set up offices in the five regional divisions of Africa. Since the AUC already maintains Liaison Offices at the Regional Economic Communities. The other possible option of relying on offices at RECs would unnecessarily increase staffing and other costs since necessarily all eight RECs recognized by the AU would have to be included. New regional offices assisted by hosting Member States could be set up in the five regions of the AU. Whether AUHA will have presence in 5 Regions or RECs, need to be at the next meeting of the STC on Migration, Refugees and Internally Displaced Persons. The operationalization of the AUHA is suggested to be in three phases. The length of time that each phase takes

would depend on the effectiveness of the Head of AUHA and the staff component at each preceding stage in speedily achieving respective plans of action.

The AUHA 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, combining concerns for refugees, returnees and IDPs; 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.

4. FINANCING THE AGENCY

The approximate financial cost of the AUHA 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, and International Organizations like WMO and WHO with the capacity to provide forecasts and real-time developments on disasters of concern to the AUHA.

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 AUHA would have been decided so that the situation room would not be relocated twice or more times.

Sources of Funding

The mandate for the AUHA 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 AUHA is easily achievable. In order to get off the ground, AUHA must depend on the regular budget of the AUC. With such firm backing, it would be possible for the AUHA to explore additional and creative sources of funding. It is envisaged that the operationalization of the AUHA 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 AUHA 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 AUHA 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 AUHA at least over its first five years;
-
- Resources from Specific Appeals Processes;

-
- Resources from Disaster Risk Insurance;
- Project Resources from the African Private Sector;
- Project Resources from international donors.

After gaining credibility and establishment of trust, AUHA 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 AUHA

The AUHA would be expected to build two different types of partnerships that are not mutually exclusive. There would be partners that AUHA 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 AUHA 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 AUHA 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

5. LEGAL STATUS OF THE AUHA

The mandate for AUHA derives historically from the Constitutive Act of the African Union that replaced the Organization of African Unity through to the referenced Assembly decision above. Though the Assembly Decision is adequate to establish and operationalise the Agency. The Special Technical Committee on Migration, Refugees and Internally Displaced Persons at its meeting of November 7-8, 2019 decided that a statute for AUHA has to go through the normal approval process before the operationalization of the Agency. The Statute has to be adopted by AU policy Organs through the STC on Justice and Legal Matters.

AUHA would be required to enter into respective agreements with regional and national mechanisms, including countries. To avoid a lengthy process, it is hereby suggested that decisions of the AAU addressing operationalization could be further reinforced in the Model Act. The Model Act will draw on International Disaster Response Law (IDRL) recommendations and best practices, the aim of which is to facilitate, coordinate and regulate international disaster response operations. A regional response mechanism under the AUHA will be developed with the aim of laying out the steps to follow in the request of international support from AUHA, roles and responsibilities of the affected state and a coordination mechanism to channel the requests and offers of international humanitarian assistance.

| AUHA Personnel Budget Posts - Annual Cost | | | Annual Salaries and Benefits Cost | | | | |
|--|-------------------------------|-------|-----------------------------------|------------|------------|------------|------------|
| No | Post | Grade | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
| Office of the Director | | | | | | | |
| 1 | Director | P6 | 144,255.12 | 147,171.30 | 150,087.49 | 153,000.11 | 155,916.29 |
| 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 | 104,585.00 |
| 1 | Legal Officer | P3 | 22,656.97 | 23,791.70 | 24,925.22 | 26,058.74 | 27,192.26 |
| 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 |
| 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 |
| 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 |
| 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 |
| 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 |
| 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 |

| 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 |
| 39 | Total Proposed Regular Budget Posts | | 947,950.38 | 1,508,287.51 | 3,553,246.52 | 3,628,422.77 | 3,703,688.42 |

Estimated Administrative, Operational and Program Costs

| No | Description | Annual Costs | | | | | |
|------------|--|--------------|---------------------|---------------------|---------------------|---------------------|------------------------------|
| | | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 | |
| I | Staff Costs | | 947,950.38 | 1,508,287.51 | 3,553,246.52 | 3,628,422.77 | 3,703,688.42 |
| a | Director and support staff | 568,627.59 | 788,500.03 | 901,543.74 | 919,570.46 | 937,614.99 | b Programme staff 379,322.79 |
| | | 719,787.49 | 2,651,702.78 | 2,708,852.31 | 2,766,073.43 | | |
| 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 |
| | Volunteer Emergency Response Teams (VERT) ^b | | 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>i</i> | <i>Utilities (water and electricity)</i> | 7,200.00 | 7,560.00 | 7,938.00 | 8,334.00 | 8,752.00 |
| <i>ii</i> | <i>Property insurance</i> | 10,000.00 | 10,500.00 | 11,026.00 | 11,576.00 | 12,156.00 |
| <i>iii</i> | <i>Fuel and Lubricants</i> | 24,000.00 | 25,200.00 | 26,460.00 | 27,784.00 | 29,172.00 |
| <i>iv</i> | <i>Bank Charges</i> | 2,400.00 | 2,520.00 | 2,646.00 | 2,778.00 | 2,918.00 |
| <i>v</i> | <i>Miscellaneous Expenses</i> | 9,600.00 | 10,080.00 | 10,584.00 | 11,114.00 | 11,668.00 |
| Total | | 3,138,150.38 | 7,461,497.51 | 6,142,374.52 | 6,234,246.77 | 6,297,700.42 |
| Contingency 5% | | 156,907.52 | 373,074.88 | 307,118.73 | 311,712.34 | 314,885.02 |
| Immediate response fund 5% | | 156,907.52 | 373,074.88 | 307,118.73 | 311,712.34 | 314,885.02 |
| Grand Total | | 3,451,965.41 | 8,207,647.27 | 6,756,611.98 | 6,857,671.45 | 6,927,470.46 |

6. CONCLUSION

The growing humanitarian crisis, disasters resulting from man-made and natural factors, with damaging effect on the wellbeing of African nationals 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 civil society working to ameliorate the sufferings of humanity in situations of disasters.

The Assembly, 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 AUHA 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 the tackling of disasters on the African Continent. AUHA will be focussed on bringing succour in response to humanitarian disasters in Africa. In doing this, the AUHA is not to replace the current efforts of national/regional mechanisms/authorities and UN Agencies as well as other humanitarian partners engaged on the continent of Africa.

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.

7. RECOMMENDATIONS

□ **Mandate and scope of AUHA**

1. Undertake validation and SWOT meetings especially involving Member States.
2. Submit report and accompanying budget to appropriate appropriation Committees speedily to meet submission to the July 2020 Summit.

□ **Organisational Structure**

1.
 1. Set up modalities for relating with RECs/RMs, Member States and other stakeholders/partners
 2. Position the AUHA as a central part of the humanitarian ecosystem in Africa, bearing in mind the other stakeholders.
 3. Develop an operational manual and SoPs for AUHA, including its Operation Centre
 4. Make the AUHA open to consultations, mentoring and support of relevant agencies in Africa.

□ **Human Resource Requirements**

1. HARDP could lend commencing staff for AUHA
2. WFP had expressed interest in supporting the Human Resource Requirement and should be consulted.
3. Prepare ToR and Recruit the Head of the AUHA and thereafter prepare ToRs and recruit AUHA other staff members

□ **Financing**

1. DPA/AUC to finalize the AUHA proposed budget in line with AUC SOPs
2. Prepare the budget for Phase II to include the putting in place of the Situation Room.
3. Undertake consultations with United Nations and similar entities/donors on support for AUHA

□ **Legal Status**

1. Commence consultations on the writing of the statute of the AUHA
2. Commence consultations leading to Agreements on Member States to host AUHA HQ & Field Offices
3. Commence consultations and realise MoUs with all necessary and willing stakeholders/partners

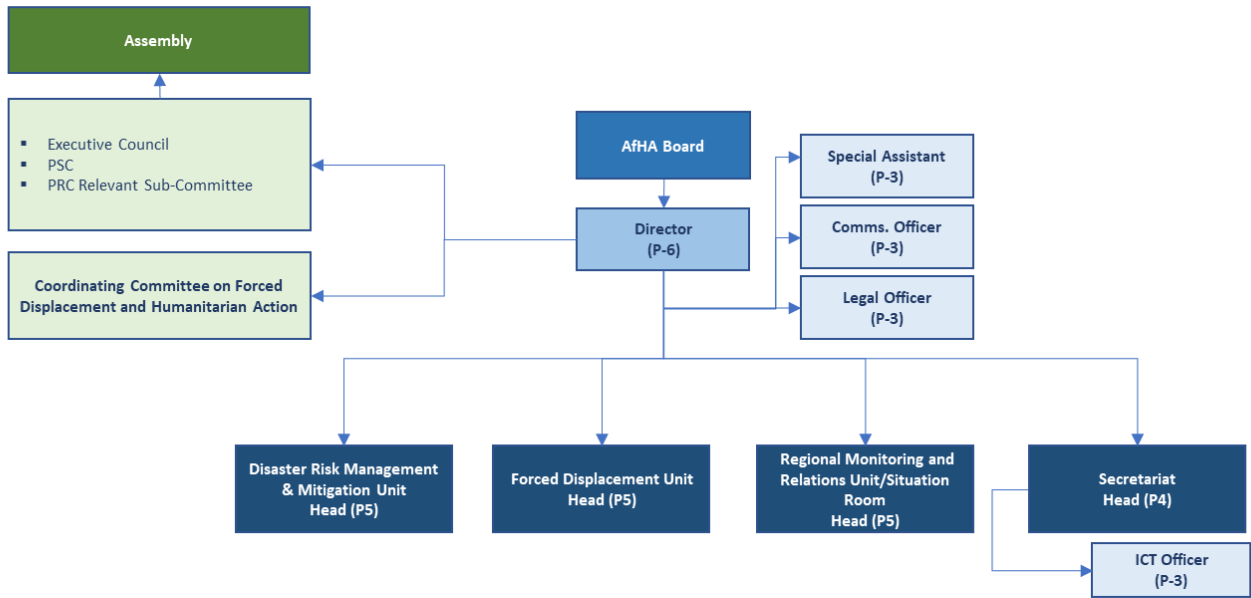
□ **Implementation Roadmap**

1. A fastidious adherence to a realistically updated roadmap as per appendix

1. APPENDIX

AfHA Organisational Structure

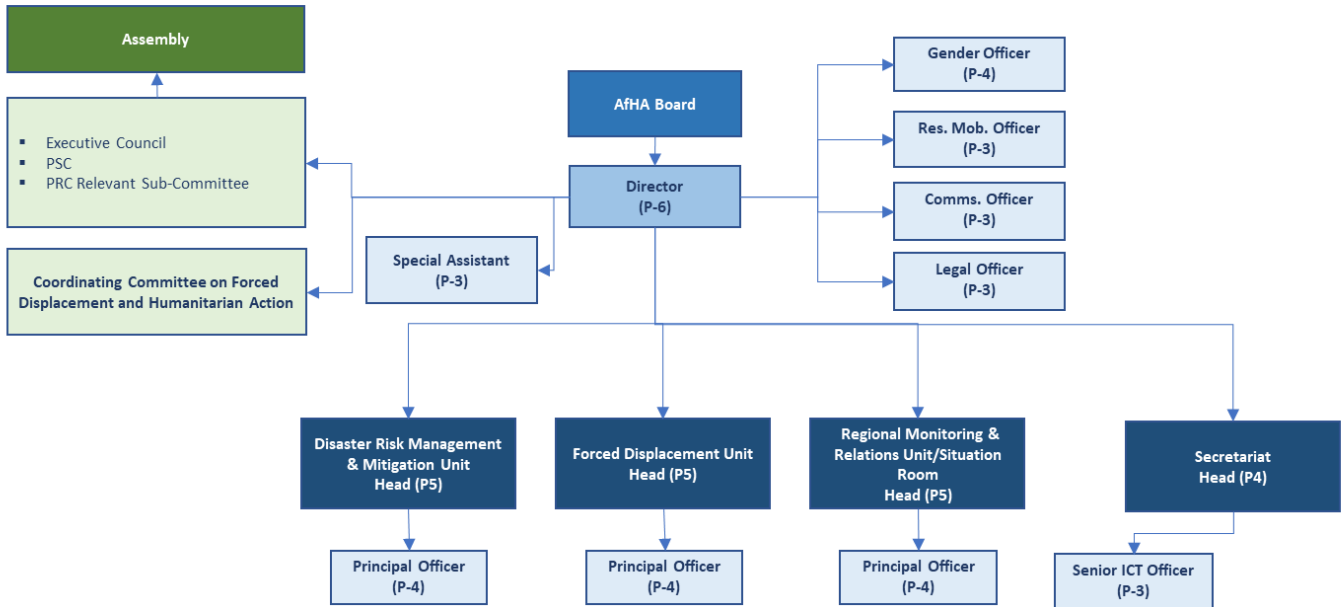
Phase I



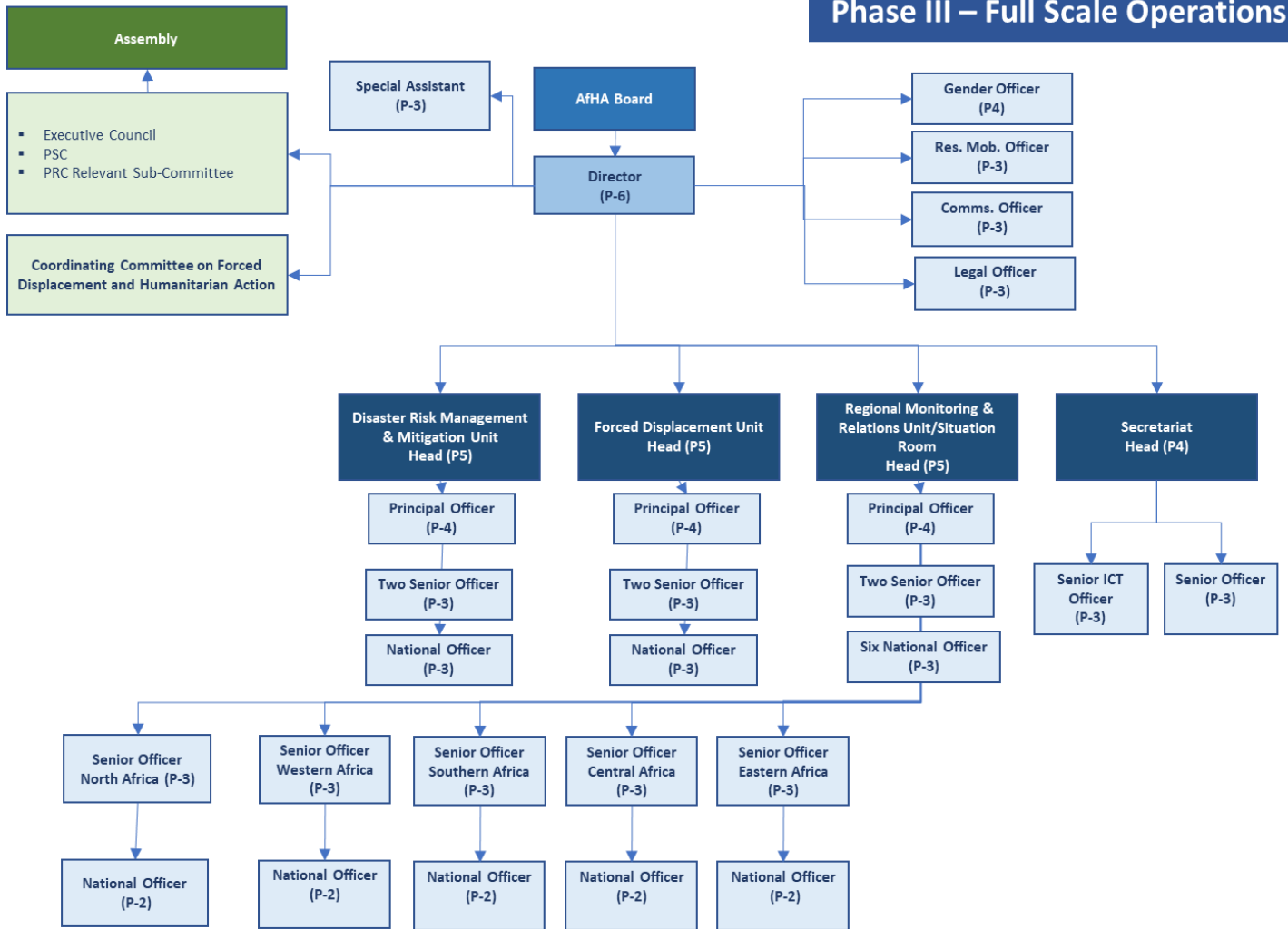
- Commence Mandate Implementation
- Negotiate HQ agreement
- Move from Addis Ababa to host country

AfHA Organisational Structure

Phase II



Phase III – Full Scale Operations



Annex: Roadmap for the Operationalization of Agency March'2018 – July' 2020

| | | ACTIVITY | OUT PUT | RESPONSIBLE | TIMEFRAME | LOCATION |
|----|---|--|---|------------------------|---------------------------------|-----------------|
| 1. | Inception and Commissioning of the Feasibility Study | <input type="checkbox"/> Inception meeting with DPA and launch of the feasibility study | Outline of the AU vision and context | DPA, Consultant | 1-10 March 2018 | AUC |
| | | <input type="checkbox"/> Distribution of questionnaires on AUHA to Permanent Representatives in Addis Ababa, Member States, RECs and Partners and relevant stakeholders | | | | |
| 2. | 3. Consultations/ Feasibility | <input type="checkbox"/> Desk review and scoping study on existing humanitarian institutional frameworks and mechanisms on the African Continent, including restructuring report of the AU | Catalogue of Africa's humanitarian landscape | Consultant | End 14 March'18 | AUC |
| | | <input type="checkbox"/> Consultations with Political leadership, AU Organs and Departments on the AUHA feasibility study | Deepen understanding of vision and structuring AU civil service delivery on humanitarian issues | DPA, Consultant | End 30 March'18 | AUC |
| | | <input type="checkbox"/> Consultations with AU restructuring Committee on the AUHA architecture | Update on the overall AU restructuring vision and place of the AUHA | DPA, Consultant | Before end of March'2018 | Kigali/TBD |
| | | <input type="checkbox"/> Consultations with Africa CDC and Consultations with AUC Departments | Contrast on operations of the ACDC and AUHA | DPA, Consultant | April'2018 | CDC |
| | | <input type="checkbox"/> Consultations with RECs at their respective HQs for structured interviews and workshops | Consensus on the institutional architecture, vision, goal and scope of the AUHA | DPA, Consultant | April'2018 | REC HQS |

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|----|---|--|---|------------------------|---|-------------------------------|
| 4. | | <input type="checkbox"/> Consultations with Member States and Agencies | Consensus on the institutional architecture, | DPA, Consultant | April-May'2018 | Meeting of Member |
| | | | vision, goal and scope of the AUHA | | | State Experts, Nairobi |
| 5. | Study Tour/Visits | <input type="checkbox"/> Study tours to ECHO; AHA; CDEMA, UNHCR, WFP, ICRC, IOM, IFRC and OCHA | Compare and contrast on the institutional mandate, linkages and operations of the regional Agencies | DPA, Consultant | Oct-2018 February 2019 | Regions, NY, Geneva, Brussels |
| | | <input type="checkbox"/> Study visits to AU, ECOWAS, WFP depots in Ghana, UNHCR and UNOCHA depots in Bamako, Dar es Salaam and Yaoundé | Understanding of existing depot capacities | DPA, Consultant | March'2019 | Regions |
| 6. | SWOT Analysis and analysis of results | <input type="checkbox"/> Analysis of responses from the Member States | SWOT and context of the AUHA | DPA, Consultant | April'2019 | Addis Ababa |
| | <input type="checkbox"/> SWOT Analysis, consultations with Addis based international partners of AUHA; | | | | | |
| | <input type="checkbox"/> Debriefing meeting with Permanent Representatives Committee of all member states | | | | | |
| 7. | Submission of Final Report | <input type="checkbox"/> Review of comments received and submission of final Report 25-30 pages | Amendments and report of the Agency | DPA, Consultant | 15 May 2019 | Addis Ababa |
| 8. | Internal AUC/DPA Retreat to Review Report | Report Writing and review with DPA | Manual and operational details outlined | Consultant | May'2019 | Kigali |

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|-----|--|---|---|--|------------------------------|-------------|
| 9. | Brief to Commission | <input type="checkbox"/> Briefing of the AU Commission by H.E Cessouma Semate, Commissioner for Political Affairs | Update of the Commission | H.E Commissioner Director/HHAR DP | 5 June 2019 | Addis Ababa |
| 10. | Submit Report to AU Decision Making Organs | <input type="checkbox"/> Consideration and adoption of the Feasibility Report | Decision and consensus | DPA | June'2019 | Addis Ababa |
| 11. | Address Institutional and Staffing Requirements | Organogram and structures outlined | Structures, Manual and staff Recruitment Plan | AUC/DPA | June – July '2019 | Addis Ababa |
| 12. | Resource mobilisation Strategy | Strategy | DPA, Partners | | July-Aug'2019 | |
| 13. | Commissioning of African Humanitarian Agency | AU launch ceremony of the AUHA | AUHA Launched | AUC/DPA | August'2019 | Addis Ababa |
| 14. | Legal instrument | Drafting process and consultations | AUILC, DPA | | May – July' 2019 | |
| 15. | Enact AU Disaster Law | Consultative meetings | AUILC, IFRC | | May – Sept'2019 | |
| 16. | Consultations with AU Structures and finance committees | Finalise on the proposed structures, roles and responsibilities and financing AUHA | DPA | | January 2020 | |
| 17. | Member State Validation meeting of the AUHA report | Final review and validation | DPA | | January/February 2020 | |

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| 18. | Meeting of member State Legal Experts | Review of draft Legal Instrument | AUIL, OLC and DPA | | March'2020 | |
| 19. | | | | | | |
| 20. | Extra-Ordinary Session of the STC on Migration, Refugees and Internally Displaced Persons in March/April 2020; | Validate and adopt the Study report on structures, mandate and finance | DPA | | April 2020 | |
| 21. | STC on Justice and Legal | Adopt the Legal instrument for AUHA | AUILC, OLC and DPA | | April 2020 | |
| 22. | July 2020 Summit | Consideration and adopt AUHA Report and Launch Event for AUHA | | | July 2020 | |
| 23. | Host Agreements | Country visits | AUC, Member States | | June – Aug'2019 | |
| 24. | Consultations with the Local NGOs | Consultative meetings | Cluster, ICVA | | May – Aug'2019 | |
| 25. | Dedicated Website | Consultative meetings | DPA, DCI | | May'2019 | |

| Name | Title | Country / Institution | Date Interviewed & venue |
|-----------------------------|---|------------------------------|-------------------------------------|
| Ms. Ahunna Eziakonwa & Team | AS-G | UNDP | 01/10/2018, New York |
| Ms. Finda Koroma & Team | Vice-President | ECOWAS | 11/10/2018, Abuja |
| Dr. Gueye & large Team | Head, Early Warning | ECOWAS | 11/10/2018, Abuja |
| | Commissioner, Social & Humanitarian Affairs | ECOWAS | 11/10/2018, Abuja |
| Ms. Florence Ihome & Team | Director, Humanitarian Affairs | ECOWAS | 11/10/2018, Abuja |
| Dr. Remi Ajibewa | Director, Political Affairs | ECOWAS | 11/10/2018, Abuja |
| Dr. Kayode Fagbemi | Director | NEMA/Nigeria | 11/10/2018, Abuja |
| Dr. Khabele Matlosa | Director, DPA | AU/DPA | 15/10/2018, Addis Ababa |
| Mr. Olabisi Dare | Head, HARDP | AU | 15/10/2018, Addis Ababa |
| Dr. Kai Gatkuoth | Head of Unit | DREA/AU | 16/10/2018, Addis Ababa |
| Bisi Dare/Rita Amorkhobur | Head & Deputy | HARDP/AU | 18/10/2018, Addis Ababa |
| Ms. Ladet Tekal | Formerly OCHA | UNAIDS | 22/10/2018, Addis Ababa |
| Cosmas Chanda | Head, UNHCR to AU | UNHCR | 24/10/2018, Addis Ababa |
| Johnstone Oketch | Liaison Officer | OCHA @ UNOAU | 24/10/2018, Addis Ababa |
| Steven & Team | Regional Head | World Vision | 24/10/2018, Addis Ababa |
| Ms. Angelline Rudakubana | Head, | WFP to AU | 25/10/2018, Addis Ababa |
| Mr. Addis Tesfa | Regional Coordinator | ICVA | 26/10/2018, Addis Ababa |
| Dr. Khabele Matlosa | Director | DPA | 29/10/2018, Addis Ababa |

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| STC, Equatorial Guinea | Reps @ STC mtg | Liberia, Algeria, Tunisia, Burkina Faso, Chad, Benin | 01/11/2018, Malabo |
| Amb Minata Samate | Commissioner | AU/DPA | 05/11/2018, Addis Ababa |
| Yemisrach | Rep | Norwegian Refugee Council | 05/11/2018, Addis Ababa |
| Dr. Tidiane & anor | Director | Africa Space Agency/AU | 09/11/2018, Addis Ababa |
| Dr. John Nkengasong | Director | Africa CDC | 12/11/2018, Addis Ababa |
| | Legal Officer | OLC/AU | 12/11/2018, Addis Ababa |
| Ms. Mutendere Gondwe | Legal Officer | OLC/AU | 12/11/2018, Addis Ababa |
| Steering Committee, Partners Meeting | Presentation on AUHA | Ethiopia mtg | 13/11/2018, Addis Ababa |
| Renny Mike Wafula | Humanitarian Affairs Officer | UNHCR/AU | 13/11/2018, Addis Ababa |
| Ato Tadese Bekele | Adviser, ET Disaster Risk Mgt Commission? | Ethiopia | 14/11/2018, Addis Ababa |
| Mr. Abdou Dieng | Regional Director | WFP | 15/11/2018, Skype Dakar |
| ICVA members @ Nairobi Symposium | Reps | NGOs | 27/11/2018, Nairobi |
| Reps @ Nairobi Symposium | Reps | Mali, Niger, Malawi, Morocco, Sierra Leone, Ethiopia, Madagascar, Togo, Saharawi, Nigeria etc. | 29/11/2018, Nairobi |
| Johnstone Oketch | Liaison Officer | OCHA | 15/01/2019, Addis Ababa |
| Mohd Badr & Angelline | Rome pre-mtg | WFP | 20/01/2019, Rome |
| Stanlake & full House | Director | WFP | 21/01/2019, Rome |
| Ussama Osama | OiC, Humanitarian Agency | WFP | 21/01/2019, Rome |

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| Ms. Lisa Carty & Marcy Vigoda | Director & Chief of Branch | OCHA-Geneva | 22/01/2019, Geneva |
| Ignacio Packer & anor | Director | ICVA | 22/01/2019, Geneva |
| Pat Drury & others | Director | WHO | 22/01/2019, Geneva |
| Bruce, Judith & Pascal Daudin | Director | ICRC | 22/01/2019, Geneva |
| Valentin Tapsoba | Director | UNHCR | 22/1/19, Geneva |
| Raouf Mazou | Director | UNHCR | 22/1/19, Geneva |
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|------------------------------|--------------|------------|-----------------------|
| Dr XuTang | Director | WMO | 23/1/19, Geneva |
| Dwi Atmoko | Director | WMO | 23/1/19, Geneva |
| Hon Tabu Abdallah Manirakiza | Deputy SG | ECCAS | 25/2/19, Libreville |
| ECCAS | Experts | | 25/2/19, Libreville |
| Thierry | Official | FOMAC | 25/2/19, Libreville |
| Dipo Summa | Head of Unit | AHA Centre | 06/03 19, Jakarta |
| Shabaz Khan | Director | UNESCO | 06/03/19, Jakarta, |
| Adelina and another | CEO | AHA Centre | 08/3/19, Jakarta |
| Dipo Summa | Head of Unit | AHA Centre | 08/03/19, Jakarta |
| Admiral Musa Julius | official | BMKG-WTIC | 08/03/19, Jakarta |
| Nova Heryandoko | official | BMKG | 08/03/19, Jakarta |
| Kian Purna Sinki | official | BMKG | 08/03/19, Jakarta |
| Bustamam | official | UNESCO | 08/03/19, Jakarta |
| Shewit Hailu | Official | AU/PSC | 18/03/19, Addis Ababa |

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|--|--------------|---|-------------------------|
| Moussa Faki Mahamat | Chairperson | @ AU Member States' mtg on cyclone Idai | 21/03/19, Addis Ababa |
| Minata Samate, Khabele Matlosa and all HARDP staff | Commissioner | AU/DPA | 23/03/19, Addis Ababa |
| Johannesburg Consultations | | | April 2019, Addis Ababa |
| PSC Consultations | | | April 2019, Addis Ababa |
| Khabele Matlosa | Director | AU/DPA | 28/10/2019, Addis Ababa |
| Khabele Matlosa | Director | AU/DPA | 11/11/2019, Addis Ababa |
| Minata Samate, Director & HARDP staff | Commissioner | AU/DPA | 12/11/2019, Addis Ababa |
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Consultations Questions to IGAD, Towards the Operationalization of the AU Humanitarian Agency (AUHA)

1. Which Disasters occur frequently in your Region?
2. Do All Members of your Regional Economic Commission (REC) have a National Disaster Management Agency/Organization?
 - a. If yes, how do they relate to your RECs on subsidiarity?
3. What best practices can be learned from your REC with respect to disaster risk reduction?
4. What unfulfilled gaps would you say exists in the relationship between the African Union Commission and your Regional Economic Commission with respect to humanitarian support?

5. What capacity building interventions with respect to emergency management/disaster risk reduction/Humanitarian Coordination do you think the AU can offer to your REC?
6. The Head of AUHA should be elected or Appointed?
7. What role do you think AUHA can play at National, Regional, Continental and Global levels?

Consultations Questions to Member States Towards the Operationalization of the AU Humanitarian Agency (AUHA)

1. Which Disasters occur frequently in your country?
2. Does your country have a National Disaster Management Agency/Organization?
 - a. If yes, how is it funded?
3. What best practices can be learned from your country with respect to disaster risk reduction?
4. How would you characterize the relationship between your country and your Regional Economic Commission?
 - a. Cordial
 - b. Indifferent
 - c. Frosty
5. What unfulfilled gaps would you say exists in the relationship between your country and the African Union Commission and

your Regional Economic Commission with respect to humanitarian support?

6. What capacity building interventions with respect to emergency management/disaster risk reduction/Humanitarian Coordination do you think the AU can offer to your country?
7. The Head of AUHA should be elected or Appointed?
8. What role do you think AUHA can play at National, Regional, Continental and Global levels?

Member States Whose Responses to Questionnaire I Received

1. Madagascar
2. South Africa
3. Nigeria
4. Uganda
5. Comoros
6. Republic of Congo
7. Lesotho
8. Mauritius
9. Democratic Republic of Congo