



# AFRICAN UNION-SAFGRAD STRATEGIC PLAN 2014-2017

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# FOREWORD

I am privileged to introduce to you the strategic plan (2014-2017) for African Union's Semi- Arid Food Grain Research and Development office (African Union-SAFGRAD).

Following the success achieved by African Union –SAFGRAD in the Semi-Arid Zones of Africa as well as the considerable gained experiences which have been acquired during the history of the office, we will continue to work and build on its achievements to secure the sustainability and quality of food and improve rural livelihoods in Semi-Arid Zone of Africa. The plan describes how it will add value to strengthen the institutional capacities that would build the resilience of rural livelihoods in Semi -Arid Zone of Africa by leading, coordinating and facilitating the formulation of appropriate policies and programmes. Moreover, The plan outlines how African Union-SAFGRAD will advance the achievement of the goals and objectives of the Comprehensive Africa Agriculture Development Programme(CAADP) and the resolution adopted and endorsed in the 2011 Assembly of AU Heads of State and Government *EX.CL/Dec.600-643 (XVIII)*.

The plan includes two main strategic goals that it envisages meeting through the implementation of four substantive programmes which are the product of the conference held in April 2008, Addis Ababa, Ethiopia and titled “enhancement of rural livelihoods in Semi-Arid Zones of Africa”; the decision of Conference of African Ministers `of Agriculture (CAMA), October 2010 , Lilongwe, Malawi; the consultancies with various stakeholders and validation workshop held in September 2012 involving key stakeholders and development partners.

***Dr. Ahmed Elmekass***  
***Coordinator, African Union-SAFGRAD***  
***African Union Commission***

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## Abbreviations and Acronyms

<b>ACPC</b>	African Climate Policy Centre	<b>FEWSNET</b>	Famine Early Warning Systems Network
<b>AfDB</b>	African Development Bank	<b>G8</b>	Group 8 of developed countries
<b>AFTAAC</b>	Arab Fund for Technical Assistance to African Countries	<b>GDP</b>	Growth Domestic Product
<b>AMCEN</b>	African Ministerial Conference on the Environment	<b>HDI</b>	Human Development Index
<b>AMCOW</b>	African Ministers' Council on Water	<b>IARCs</b>	International Agricultural Research Centers
<b>AOAD</b>	Arab Organization for Agriculture Development	<b>ICARDA</b>	International Centre for Agricultural Research in Dry Areas
<b>AU</b>	African Union	<b>ICRISAT</b>	International Crops research Institute for the Semi-Arid Tropics
<b>AUC</b>	African Unions Commission	<b>IDB</b>	Islamic Development Bank
<b>AU-IAPSC</b>	African Union-Inter African Phytosanitary Council	<b>IFPRI</b>	International Food Policy research Institute
<b>AU-IBAR</b>	African Union-Inter Bureau of Animal Resources	<b>IGAD</b>	Inter-Governmental Agency for Development
<b>AU-SAFGRAD</b>	African Union - Semi-arid Food Grain Research and Development	<b>IITA</b>	International Institute of Tropical Agriculture
<b>CAADP</b>	Comprehensive Africa Agricultural Development Programme	<b>KIS</b>	Knowledge, Information and Skills
<b>CAMA</b>	Conference of African Ministers `of Agriculture	<b>MDGs</b>	Millennium Development Goals
<b>CBD</b>	United Nations Convention for Biodiversity	<b>MoU</b>	Memorandum- of Understanding
<b>CGIARs</b>	Consortium for International Agricultural Research organizations	<b>NAFSIPs</b>	National Agricultural and Food Security Investment Plans
<b>CILSS</b>	Comité Inter Etat de Lutte contre la Sécheresse dans le Sahel	<b>NARS</b>	National Agricultural Research System
<b>CORAF</b>	Conseil Ouest et Centre Africain pour la Recherche et le Développement Agricoles	<b>NEPAD</b>	New Partnership for Africa's Development
<b>CTA</b>	Technical Centre for Rural Cooperation	<b>NGOs</b>	Non-Governmental Organizations
<b>DREA</b>	Department of Rural Economy and Agriculture	<b>NPCA</b>	NEPAD Planning and Coordinating Agency
<b>EARSAM</b>	East Africa Regional Sorghum and Millet Network	<b>NSAs</b>	Non-State Actors
<b>ECOWAS</b>	Economic Community of West African States	<b>OAU</b>	Organization of African Unity
<b>FAAP</b>	Framework for African Agricultural Productivity	<b>OSS</b>	Observatoire pour le Sahara et le Sahel
<b>FAO</b>	Food and Agriculture Organization	<b>R&amp;D</b>	Research and Development
<b>FARA</b>	Forum for Agricultural Research in Africa	<b>RBM</b>	Results Based Management
<b>FCC</b>	United Nations Convention for Climate Change	<b>RECs</b>	Regional Economic Communities
		<b>RENACO</b>	West and Central Africa Cowpea Research Network
		<b>SAZ</b>	Semi-Aride Zones
		<b>SPO</b>	Standard Phytosanitary Office
		<b>SROs</b>	Sub-Regional Organizations
		<b>TCP</b>	Technical Cooperation Programme

**TPN6** Thematic Program Network for the Promotion of Sustainable Agricultural Farming Systems to Combat Desertification in Africa

**UNCCD** United Nations Convention to Combat Desertification

**UNCCC** United Nations Convention for Climate Change

**UNDP** United Nations Development Program

**UN** United Nations

**UNEP** United Nations Environment Programme

**UNHCR** United Nations High Commissioner for Refugees

**UNIDO** United Nations Industrial Development Office

**USAID** United States Agency for International Development

**USD** United States Dollars

**WCASRN** West and Central Africa Sorghum Research Network

**WECAMA** West and Central Africa Maize Research Network



***The Semi-Arid Zones (SAZ) of Africa*** cover areas that extend from Senegal in West Africa to Djibouti in East Africa, through Tunisia in North Africa to South Africa in the southern-most tip of the continent. Agriculture alone contributes between 30 per cent and 40 per cent to GDP and provides employment for 80 per cent of the population in the SAZ of Africa. The Semi-Arid Zones of Africa are characterized by a predominantly hostile and marginal environment. For example, water is scarce due to limited and unreliable rainfall patterns; soils are infertile and poor in nutrients; these areas are susceptible to high temperatures and high solar radiation; and, are prone to wind and water erosion. Moreover, the semi-arid areas of Africa are also largely characterized by low farm productivity of below 2.1 per cent and a high rate of population growth, usually close to 3 per cent or more. Inappropriate technologies, poorly functioning institutions, lack or poor infrastructure and incomplete or missing markets have hindered the uptake of many technologies and thus agricultural productivity. Indicators of the quality of economic development, such as the United Nations Development Program's Human Development Index (HDI) and Gross National Income per Capita, indicate low levels of well-being in the Semi-arid Tropics of West and Central Africa.

***In response to SAZ's challenges***, namely the recurrent droughts, the virtual lack of appropriate and economically feasible technologies to

improve agricultural production in semi-arid agro-ecosystems and the food security crisis in 1970s, the Heads of African State and Government of the Organization of African Unity (OAU) established AU-SAFGRAD in 1977 (based on Resolution 505 XXIX adopted by the Council of Ministers). Since 2003 AU-SAFGRAD was institutionalized to be one of the specialized technical offices under the Department of Rural Economy and Agriculture of the African Union Commission. Moreover, through decisions taken by African Union Heads of States and Government in 2003 and 2011, AU-SAFGRAD is mandated: "To lead, coordinate and facilitate the formulation of appropriate policies and programmes that would build resilience of rural livelihoods in semi-arid Africa through strengthening of institutional capacities aimed at advancing agricultural research, technology transfer and adoption; enhancement of value chains; management of natural resources; and mitigation and adaptation to climate change and combating desertification. In this regard, the office has since facilitated development of agricultural technologies as well as building national research capacities and building a knowledge base in Africa's Semi-Arid Zones".

In terms of AU-SAFGRAD's comparative advantages, it remains the only African Union office with a specific mandate to all countries in semi-arid zones of Africa. Under the umbrella of the African Union Commission, AU-SAFGRAD plays an important role at continental level

in translating formal decisions taken at AU level into policies and strategies that should be adopted by Member States as well as working closely with the RECs and other relevant organizations in policy dialogue and harmonization issues. Moreover AU-SAFGRAD has access to high-level decision makers through the Conference of African Ministers of Agriculture (CAMA), Environment (AMCEN), and Water (AMCOW).

***Indeed, the Conference of African Ministers of Agriculture(CAMA)*** held in Lilongwe, Malawi 26-29 October 2010 requested AU-SAFGRAD to work in six priorities areas (access to and management of land and water resources; productivity, technology, and innovation; adaptation to and mitigation of impacts of climate change and desertification; exploitation of national, regional and global market opportunities; global, regional and national policies and institutions; and strengthening local capacities) and formulate appropriate policies and programs to improve livelihoods in semi-arid zones of Africa. In addition, the resolution urged the AUC, Regional Economic Communities (RECs), international organizations and development partners to provide technical and financial support to AU-SAFGRAD to review its strategic plan as well as to effectively implement programmes related to improving rural livelihoods in semi-arid-zones of Africa. It is against this background that AU-SAFGRAD developed the current strategic

plan 2014-2017 which aligned SAFGRAD work to the CAADP framework.

***This Strategic Plan was prepared in-house*** through a participatory approach and consultations that involved a broad spectrum of various stakeholders. It is set out in five chapters including(i)a situational analysis of semi-arid areas of Africa;(ii)key Issues in Agriculture and Rural Livelihoods in Africa's Semi-Arid Zones; (iii)AU-SAGFRAD's Vision, Mission, Mandate, Core Values and Key Stakeholders;(iv) the Strategic Goals and Programmes; and,(v) Implementation Mechanism and Capacity Development Arrangements.



*In the light of the six priorities areas identified by CAMA, 2010,* SAFGRAD has set two inter-related strategic goals that it envisages meeting through the implementation of four substantive programmes.

***Firstly, Strategic Goal 1:*** *To strengthen policies, institutions and strategies that help enhance the resilience of rural livelihoods in semi-arid zones of Africa.* It is envisaged that this goal will be attained through implementation of trainings and capacity building support for policy development and resilience programming semi-arid zones. Besides, a programme on strengthening agricultural livelihood-based producer organizations in semi-arid zones will be implemented under this goal. This programme will focus on supporting institutional development of agricultural livelihood-based producer organisations and their engagement with CAADP; and promotion of strategic agricultural value chains in semi-arid zones.

***Secondly, Strategic Goal 2:*** *To enhance African capacities in research, technology dissemination and knowledge management for building the resilience of rural livelihoods in semi-arid zones of Africa;* will be attained through implementation of a programme on facilitation of agricultural research and transfer of technologies and innovations in the context of semi-arid zones. This programme will focus on

supporting technology generation to strengthen resilience in semi-arid zones through capacity strengthening of research institutions; and, dissemination of technologies to enhance resilience and contribute to climate change mitigation and adaptation. A programme on Knowledge management, networking and communication will also be implemented towards attainment of the goal. This programme will focus on documentation and sharing of success stories and lessons learnt; Coordination of UNCCD's TPN6 activities for the Promotion of Sustainable Agricultural Farming Systems to Combat Desertification; and supporting 'resilience-oriented' networks under the CAADP Knowledge, Information and Skills support system.

***In addition, the Strategic Plan expounds*** on management capacity issues and requisite resources for its implementation. It pronounces itself on programme management taking account of Monitoring & Evaluation; and is explicit on strategies for Human Resources Capacity Development, Communication, and acquisition and utilization of financial resources.



## Chapter 1: Background Information

### 1.1 A situational analysis in semi-arid areas of Africa

The semi-arid zones (SAZ) of Africa cover areas that extend from Senegal in West Africa to Djibouti in East Africa, through Tunisia in North Africa to South Africa in the southern-most tip of the continent. Agricultural production (i.e., crop production, livestock husbandry – including fisheries, and forest-based livelihoods) as well as non-agricultural activities provide the basic means for rural livelihoods and form the driving force for the promotion of the rural economies of the countries in these regions. Agriculture alone contributes between 30 per cent and 40 per cent to GDP and provides employment for 80 per cent of the population in the SAZ of Africa<sup>1</sup>.

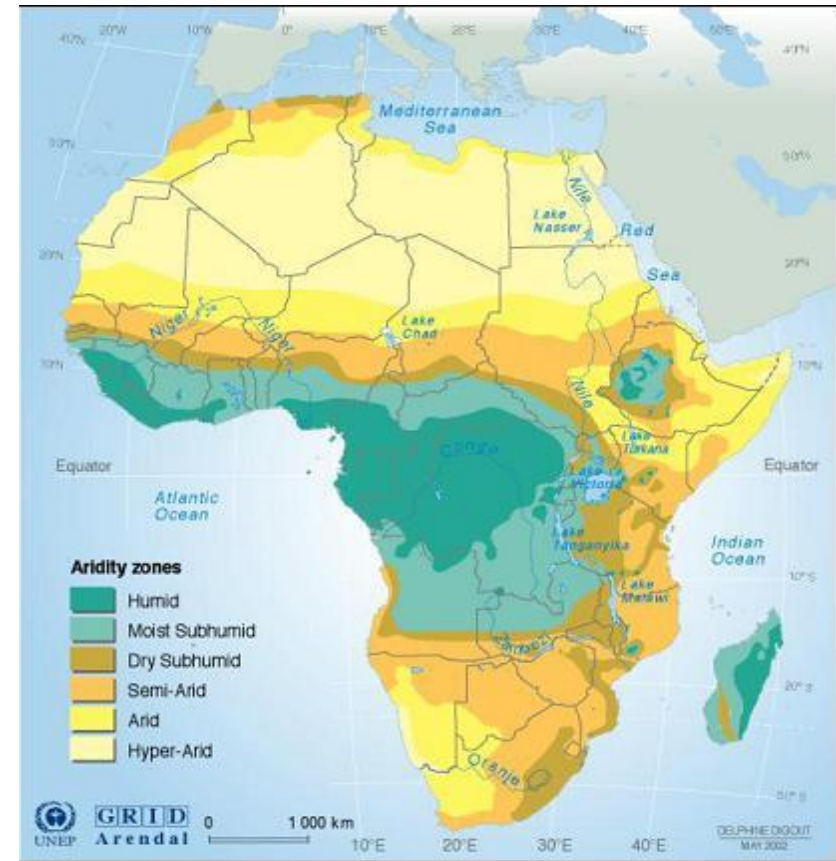


Figure 1. Map showing the extent of dry lands in Africa<sup>2</sup>

This SAZ of Africa is characterized by a predominantly hostile and marginal environment. Human populations which inhabit

<sup>1</sup>Economic Importance of Agriculture for Sustainable Development and Poverty Reduction: Findings from a Case Study of Ghana XinshenDiao, [X.diao@cgiar.org](mailto:X.diao@cgiar.org)

<sup>2</sup>Source: World Meteorological Organization (WMO), United Nations Environmental Program (UNEP), Climate Change Orange 2005. Impact, Adaptation and Vulnerability. Contribution of working group II to the third assessment report of the Intergovernmental Panel on Climate Change (IPCC) Cited by Digout 2005, UNEP/GRID-Arendal (<http://www.grida.no/publications/vg/africa>)

these semi-arid areas therefore, constantly face severe environmental challenges to sustain their livelihoods. For example, water is scarce due to limited and unreliable rainfall patterns; soils are infertile and poor in nutrients; these areas are susceptible to high temperatures and high solar radiation; and, are prone to wind and water erosion. Furthermore, due to continuous environmental degradation, and the prevalence of invasive crops pests and animal disease pathogens, the SAZ are difficult to manage for agricultural and livestock production.

These areas are extremely vulnerable to the negative effects of climate change and desertification; and consequently, most of the people therein constantly experience food insecurity.

The bulk of the rural population in semi-arid Africa, predominantly composed of small scale farmers and pastoralists, is poor and food insecure. These zones exhibit ecological constraints which set limits to nomadic pastoralism and settled agriculture, including: rainfall patterns that are inherently erratic; rains which fall mostly as heavy showers and are lost to run-off; a high rate of potential evapotranspiration further reducing yields; weeds growing more vigorously than

cultivated crops and competing for scarce reserves of moisture; low organic matter levels, except for short periods after harvesting or manure applications; and, highly variable responses to fertilizer.

The semi-arid areas of Africa are also largely characterized by low farm productivity of below 2.1per cent and a high rate of population growth, usually close to 3per cent or more. Moreover, the widespread use of unimproved crop varieties and animal breed, prevalence of diseases and pests coupled with limited resources is severely limiting productivity and production of farmers in the region. Whereas a range of improved technologies has been developed, their uptake by farmers is still low. Adoption of improved technologies remains piecemeal without a significant impact on crop productivity, rural income or poverty reduction. Inappropriate technologies, poorly functioning institutions, lack or poor infrastructure and incomplete or missing markets have hindered the uptake of many technologies and thus agricultural productivity<sup>3</sup>.

Composite indicators of the quality of economic development, such as the United Nations Development Program's Human

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<sup>3</sup>Linking Land Quality, Agricultural Productivity, and Food Security / AER-823

Development Index (HDI) and Gross National Income per Capita, indicate low levels of well-being in the Semi-arid Tropics of West and Central Africa – areas where the bulk of the rural population in SAZ reside.

Most countries in West and Central Africa have HDIs, and Gross National Income per Capita below the sub-Saharan Africa average of USD 0.463 and 1,966 respectively. More than 50% of people in West Africa live below the poverty line (with less than \$1 per day). Many people in West and Central Africa still have little access to safe water or sanitation (UNDP, 2012)<sup>4</sup>.

Consequently, the rationale for prioritizing programmes aimed at improvements of semi-arid rural livelihoods extends beyond national issues and highlights the enormous development challenges and potentials presented by agro-ecology. To this end, unless concerted actions aimed at reversing the situation are taken, communities living and working in semi-arid areas will remain marginalized with far-reaching consequences that

might undermine efforts aimed at meeting internationally agreed targets such as the Millennium Development Goals DGs).



## **1.2 AU-SAFGRAD**

### **1.2.1 Origin**

In response to the recurrent droughts, the virtual lack of appropriate and economically feasible technologies to improve

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<sup>4</sup>UNDP (2012). Africa Human Development Report

agricultural production in semi-arid agro-ecosystems and the food security crisis in 1970s, the Heads of African States and Government of the Organization of African Unity (OAU) established SAFGRAD in 1977 (based on Resolution 505 XXIX adopted by the Council of Ministers). Since 2003, SAFGRAD was institutionalized to be one of the specialized technical offices under the Department of Rural Economy and Agriculture of the African Union Commission. Its work revolves around facilitating the advancement of agricultural and rural development within the semi-arid zones of Africa through advocacy, coordination and networking in the promotion of agricultural research, technology transfer and dissemination for the development of livelihoods in semi-arid zones of Africa. Moreover, AU-SAFGRAD has been designated as the institutional focal point for coordinating The Thematic Program Network for the Promotion of Sustainable Agricultural Farming Systems to Combat Desertification in Africa (TPN6) activities of UNCCD in 2004.

### **1.2.2 Achievements**

The major achievements of SAFGRAD fall under three main target areas as follows:

#### **a- Facilitating development of technologies**

In collaboration with NARS and IARCs, SAFGRAD played a key role in facilitating the release of several (maize, sorghum and cowpea) food grain cultivars currently cultivated by farmers in the semi-arid regions of Africa. These improved crop varieties are drought tolerant, early maturing, resistant to major pests and diseases and are high yielding. Progress toward maize streak virus tolerance or resistance in breeding program activities e.g. selection and/or introgression into extra early maturing cultivars is also underway. Through these collaborations, several advances such as the following have been realized:

- ☑ Togo adopted the maize streak screening technology developed at IITA for mass rearing of viruliferous vectors.
- ☑ Suvita-2, a cowpea variety developed in Burkina Faso is widely accepted in Mali because of its high yield, good grain quality and resistance to striga.

- ☑ Regional trials have also shown the sorghum variety ICSV 112 and the finger millet variety P 244 to be high-yielding and well adapted to East African conditions.

AU-SAFGRAD had also coordinated research into the development of more efficient water conservation technologies in order to support sustained crop production. Soil fertility in fragile soils has been enhanced through the use of crop residues; animal manures and readily available and cheap fertilizers, especially locally sourced rock phosphates. SAFGRAD research collaborators have developed several labour-savings devices which have been proved successful. In a location in Burkina Faso, maize yield increases of up to 100% were achieved by the adoption of the appropriate technologies.



The effective transfer of new technologies from research stations to farmers in the field was a major constraint to increase food grain production. SAFGRAD responded to this weakness by establishing the Accelerated Crop Production Programme. This programme served as a link between national agricultural research institutions, extension services and farmers. Extension agents transferred improved crop varieties and crop production technologies to farmers, and at the same time they provided researchers with information from farmers concerning production constraints.

### **b- Building national research capacities**

Working in collaboration with CGIARs and NARS, SAFGRAD has set a functional network that brings together all the actors on the same table. Furthermore, training of research scientists and technicians has always been a major activity of SAFGRAD. The training programme is aimed at strengthening African agricultural institutions by helping to build up the number of appropriately trained researchers and technicians in food grain research.



Over the past three decades, SAFGRAD has facilitated long-term training (M.Sc., Ph.D.) in agricultural research and management, and about 30 trained scientists have assumed research leadership positions in their respective countries. More than 2500 scientists and technicians have also participated in various short training facilitated by SAFGRAD. The short term trainings provided extensive opportunities for trainees to acquire knowledge and improve their competence and skills in various agricultural domains. For instance, recently young researchers from 24 countries (Benin, Botswana, Burkina Faso, Burundi, Cape Verde, Congo Brazzaville, Cote D'Ivoire, Egypt, Eritrea, Gabon, Ghana, Lesotho, Liberia, Malawi, Mauritania, Niger, Nigeria, Sierra Leone, Republic Democratic of Congo, Senegal, Tanzania, Togo, Uganda and Zimbabwe) were trained on the *"The impact of Climate change and desertification on agriculture and food security in the semi-arid zone"*.

### **c- Networks**

SAFGRAD has optimized the utilization of resources, technologies and scientific expertise which is available within national and international institutions to substantially improve

the research capabilities of NARS through a strategy of core collaborative crop network.

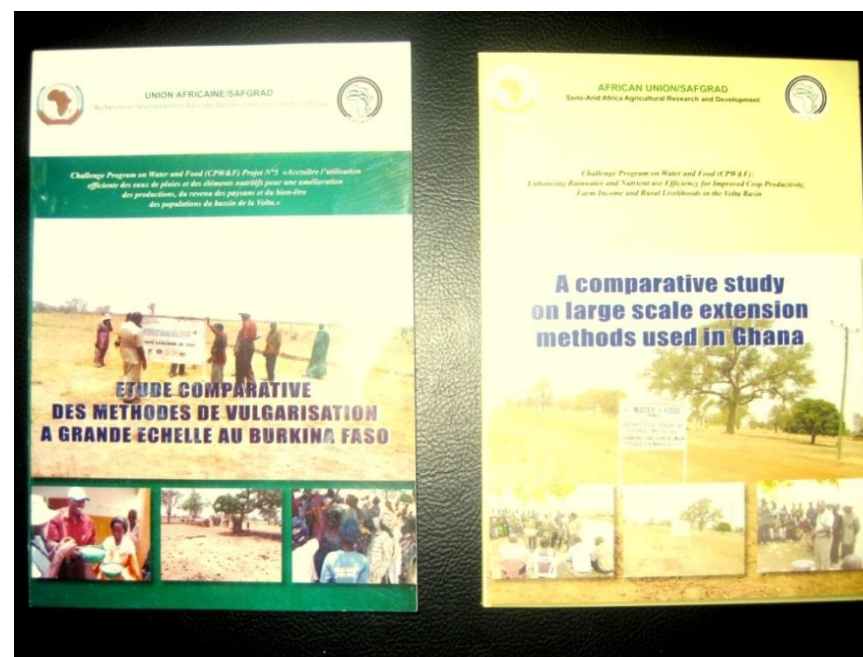
The organization has also developed efficient and functional links within and between NARS to promote the generation and dissemination of proven technologies in the semi-arid regions of Africa. The network model is based on strong collaboration between the principal three partners:

- ☑ NARS in semi-arid zones of Africa which are the network target group
- ☑ The IARCs, which provide technical research to backstop the network
- ☑ The AU-SAFGRAD coordination office, which coordinates the networks and provides organizational and managerial support.

The collaborative networks included the followings with each of them targeting a specific issue and region: West and Central Africa Maize Research Network (WECAMA), West and Central Africa Cowpea Research Network (RENACO), West and Central Africa Sorghum Research Network (WCASRN), East Africa Regional Sorghum and Millet Network (EARSAM).

#### **d- Building knowledge base**

SAFGRAD also has contributed to building a knowledge base on Semi-Arid Agriculture through production/dissemination of over 500 publications. In addition, information exchange between researchers was facilitated through workshops, seminars, technical meetings and conferences. Some of the dissemination products included technical newsletters, reports, conference proceedings and books publications.



The recent publications include: *A Comparative study on large scale extension methods used in Ghana*; *Comparative study on large scale extension methods used in Burkina Faso*; *Agricultural technologies in Burkina Faso*; and *West African Agriculture: Current Status, Challenges and Opportunities-Focus on Semi-Arid Zone*. These have helped disseminate vital research information. Those documents have been disseminated to all relevant institutions, decision makers and farmers organizations.

### **1.2.3 Comparative Advantages**

SAFGRAD was established with an ultimate aim to respond to recurrent droughts and the agricultural crisis experienced in Semi-arid Africa and to serve as a focal point for promoting Inter-African Agricultural Research and Development in semi-arid zones of Africa. The reasons that led to the establishment of SAFGRAD are still relevant in most semi-arid zones of Africa, notwithstanding various achievement recorded. In spite of the emergence of newly created institutions, AU-SAFGRAD remains the only African Union office with a specific mandate to all countries in semi-arid zones of Africa. Under the umbrella of the African Union Commission, AU-SAFGRAD plays an important role at continental level in translating formal decisions taken at

AU level into policies and strategies that should be adopted by Member States as well as working closely with the RECs and other relevant organizations in policy dialogue and harmonization issues. Moreover AU-SAFGRAD has access to high-level decision makers through the Conference of African Ministers of Agriculture (CAMA), African Ministerial Conference on the Environment (AMCEN), and African Ministers' Council on Water (AMCOW). These structures, which help elaborate the road maps on matters concerning continental agriculture, natural environment and water related issues, also act as channels to Heads of State and Government of the African Union. Furthermore, as a focal institution of UNCCD coordinating TPN6 activities, the AU-SAFGRAD has been given a key and vital role in formulating strategies toward combating and mitigating the impact of desertification in Africa.

In exercising its mandate, the AU-SAFGRAD works within the Comprehensive Africa Agricultural Development Programme (CAADP) to accelerate agricultural growth and eliminate poverty across the continent. Moreover, the activities of the Office are guided by the ministerial resolution of the Conference

of African Ministers of Agriculture (CAMA) held in Lilongwe, Malawi 26-29 October 2010, which were adopted and endorsed in the January 2011 Assembly of AU Heads of state and Government. In this resolution, AU Ministers of Agriculture requested AU-SAFGRAD to work in six priorities areas<sup>5</sup> and formulate appropriate policies and programs to improve livelihoods in semi-arid zones of Africa.

In addition, the resolution urged the AUC, Regional Economic Communities (RECs), international organizations and development partners to provide technical and financial support to AU-SAFGRAD to review its strategic plan as well as to effectively implement programs related to improving rural livelihoods in semi-arid-zones of Africa.

### **1.3 Rationale and Process for Developing the Strategic Plan**

As a Pan-African organization, the African Union offers the continental platform for advocacy, political engagement for policy harmonization, and enhancing of partnerships for Africa's

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<sup>5</sup> These include: access to and management of land and water resources; productivity, technology, and innovation; adaptation to and mitigation of impacts of climate change and desertification; exploitation of national, regional and global market opportunities; global, regional and national policies and institutions; and strengthening local capacities.

development. It is against this background that AU-SAFGRAD developed this strategic plan with a view of implementing the ministerial resolutions of the Conference of African Ministers of Agriculture (CAMA) held in Lilongwe, Malawi 26-29 October 2010; as well as aligning its work to the CAADP framework. It is intended that by implementing this strategic plan, AU-SAFGRAD will place itself on a better footing to respond to emerging issues on sustainable livelihood in semi-arid zones of Africa, within CAADP framework. It is also intended that proper implementation of this strategic plan will enhance AU-SAFGRAD's capacity to work with relevant stakeholders that seek to advance the growth of agriculture for improved livelihoods in semi-arid zones of Africa. In this regard therefore, AU-SAFGRAD will build and strengthen continental, regional and national partnerships for agricultural development in semi-arid Africa as well as advocating and providing the political platform for evidence-based policy harmonization and implementation. The process of developing this Strategic Plan started early of 2012 where the AU-SAFGRAD team converged at their office in Ouagadougou, Burkina Faso for one week workshop. The workshop was an in-house brainstorming session to reflect on

the AU Ministers of Agriculture's recommendation and emerging issues on sustainable rural livelihoods in semi-arid areas of Africa. This produced a draft that was discussed in three consultation workshops with various stakeholders. A validation workshop was held in October 2012 involving all key stakeholders including sub-regional and regional policy makers and institutions/Organizations; National Agricultural Research Systems (NARS); Civil Society Organizations (NGOs, farmer organizations, other producer associations); private sector; and partners in semi-arid zones of Africa.

#### **1.4 Organization of the Strategic Plan**

This Strategic Plan document is organized in five chapters. Chapter One contains an introduction covering a situational analysis of semi-arid areas of Africa, the place of AU-SAFGRAD including creation, achievements, and comparative advantages. This chapter also covers the rationale and process of developing the Strategic Plan; and, organization of the Strategic Plan. Chapter Two provides a synthesis of the key issues in agriculture and rural Livelihoods in Africa's Semi-Arid Areas.

Chapter Three presents the mandate of AU-SAFGRAD, and its vision, mission, core values and stakeholders. Chapter Four covers Strategic Goals and Programmes. Finally, Chapter Five provides an outline of implementation mechanism and capacity development strategies as these pertain to human resource development, information and communications management, and resource mobilisation. The chapter concludes by providing a summary of the AU-SAFGRAD indicative budget necessary to implement its programme activities during the Strategic Plan period (2014 – 2017).



## **Chapter 2: Key Issues in Agriculture and Rural Livelihoods in Africa's Semi-Arid Zones**

### **2.1 Introduction**

As noted earlier, most of the people living in semi-arid zones of Africa look to agriculture as their major source of livelihood. Agriculture is often expected to contribute to national economic growth through, among others, generating economic surplus and releasing labour force for industrial development. However, in semi-arid zones of Africa the sector has not even been able to meet the most basic task of contributing to food security through availing sufficient quantity and quality of food to the human population dependent on it. For instance, the Famine Early Warning Systems Network<sup>6</sup> testified that food security in the Sahel region continues to decline in the face of drought, desertification and the effects of climate change. Erratic rains of 2011 negatively affected cereal and pasture production in several countries of the Sahel sub-region. This coupled with sustained high food prices place millions of poor people in the

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<sup>6</sup>Fews net Food security outlook October 2008 to March 2009

sub-region (notably those in Burkina Faso, Chad, Mali, Mauritania, the Niger and Senegal) at risk of food insecurity. Similarly, according to an UNHCR estimate, in 2011 11.5 million people in parts of the Horn of Africa (including in Djibouti, Ethiopia, Eritrea, Kenya and Somalia) were severely affected by a major food security crisis and were in need of assistance <sup>7</sup>(UNHCR, 17 July 2011).

The issues that semi-arid Africa's agriculture and rural economy faced have been studied and documented by AU-SAFGRAD, and could broadly be categorized as follows<sup>8</sup>:

### **2.2 Land and Water Resources**

#### **a- Issues**

##### **☑ *Land degradation and management:***

In the semi-arid zones of Africa, the natural resource base for agricultural production is seriously affected by a variety of factors including soil degradation (erosion, soil fertility

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<sup>7</sup> Food security crisis in the Horn of Africa, UNCHR, 17 July 2011

<sup>8</sup>"AU/SAFGRAD, 2008, Sustainable Rural Livelihoods in Semi-Arid Areas of Africa: Issues and Responses". This document was reviewed and endorsed at an International Conference on Development of Rural Livelihoods in Semi-Arid Areas of Africa: Issues, Challenges, and Opportunities, Organized by AU-SAFGRAD (29-30 April 2008, Addis Ababa, Ethiopia).

depletion, desertification etc.), water scarcity, poor water quality, siltation, deforestation, over-fishing and overgrazing. Natural resources are often used in an unsustainable manner, which results in production systems with declining returns to inputs. This is mainly due to factors like unsustainable agricultural practices, overgrazing, deforestation in woodlands etc.

☑ *Water scarcity:*

Water scarcity is perhaps the single most significant developmental issue constraining rural livelihoods in semi-arid zones of Africa, which are characterized by low and erratic rainfall below 700mm per annum and experience periodic droughts. These regions often experience water scarcity. In semi-arid zones, most of the rains fall as heavy showers leading to considerable run-off. Therefore, water availability for rain-fed agricultural production is low while the potential evapotranspiration is high. Thus, water scarcity is a serious concern in these semi-arid regions.

## **b. Challenges**

Sustainable land and water management can only be successful where land users recognize the need and benefits of appropriate

land and water management practices or when incentives are provided. For resource-poor agricultural producers in the semi-arid zones, this may be achieved through: long-term commitment to support implementation of sustainable land and water management programmes, clearly defined land tenure and water use right policies that would promote access to land and water by the resource-poor smallholder farming families and active and effective involvement of resource-poor agricultural producers in the development of policies, planning and implementing of strategies.

## **c. Opportunities**

☑ *Existing land and water management strategies to reverse the trend of land degradation:*

Sustainable land and water management systems have been identified in CAADP as priority areas requiring attention to achieve sustainable development and this can be accomplished through considerable investments and development in land and water programmes.

☑ *Existing land tenure policies that secure and sustainable land use and investments:*

The African Union has formulated a continental land policy framework that has been adopted by AU Member states. Subsequently, many African countries have embarked on the revision and formulation of land tenure policies in line with the continental land policy framework to insure appropriate land ownership, and easier access to land. This has created opportunities for investments in sustainable land management.

☑ *Available water for irrigation:*

At least 95% of Africa's farming systems are dependent on rain-fed agriculture<sup>9</sup>. Productivity from irrigated lands is approximately three times higher than that from rain-fed lands. Investing in irrigation development provides more insurance against erratic rainfall, stabilizes agricultural output, boosts crop productivity and allows farmers to diversify their agricultural production.

## **2.3 Climate Change and Desertification**

### **a- Issues**

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<sup>9</sup>Water Productivity in Rain-fed Agriculture: Challenges and Opportunities for Smallholder Farmers in Drought-prone Tropical Agroecosystems

☑ *Weak implementation of initiatives for combating desertification:*

In Africa, arid and semi-arid zones exposed to desertification cover 43% of the continent, adversely affecting the lives of millions of people. Initiatives and frameworks to combat desertification exist at national, continental and global level. However, implementation of regional and sub-regional actions plans in Africa is severely affected by lack of financial resources.

☑ *Adaptation to climate change:*

National and regional programmes should be developed and implemented with the support of development partners. Some countries have already developed action plans for adaptation to climate change and efforts are underway to implement these plans.

### **b- Challenges**

The development of innovations to climate change and desertification through adaptive research is a challenge which the NARS as well as regional and international research organisations should incorporate in their research for development programmes. A further challenge is to establish regional and sub-regional information networks for sharing of

information on progress in research and development on climate change and desertification.



### c- Opportunities

Climate change will call for unprecedented backstopping in terms of science and technology to enable farmers to adapt.

There are opportunities to exploit the interrelationship between climate change and desertification for developmental purposes:

- ☑ *The call for effective linkages between the Rio conventions (CCD, FCC, CBD):*

At the international level, there has been awareness on the limitations caused by the lack of effective linkages between the Rio conventions; hence the call for a better interaction.

- ☑ *Increase economic aid and investments to countries in Africa:*

There appears to be a willingness from developed countries to increase economic aid and investments to countries in Africa through the G8 and other mechanisms in international agencies.

- ☑ *More resources to support climate change and desertification programmes:*

Financial resources are becoming more available for programmes on adaptation to climate change and desertification.

## 2.4 Productivity, Technology and Innovation

### a- Issues

- ☑ *Low agricultural production and productivity:*

Overall, Africa's agricultural production and productivity rates are the lowest by any standards. For example, the average rice yields in Africa is 2.3tons/ha or about half the global average. The comparative figure for maize yield is even worse. Average maize yields are 1.7 tons/ha compared to a global average of 4.9 tons/ha. Africa's agricultural production is organized in a traditional manner where very little or no inputs and improved methods of production are employed. For example, on average, fertilizer use is around 8 kg/ha compared to the 150 kg/ha global average<sup>10</sup>. Recent trends suggest that there has been some improvement in agricultural production, but this is largely due to expansion of the cultivated area, rather than from increases in factor productivity. A recent analysis of patterns of change in rice and maize production in Africa revealed that of the total increase in rice production of 12 million metric tons between 1986 and 2006, the acreage effect was greater (68%) than the productivity (18%) and interaction (14%) effects. Of

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<sup>10</sup>Management of EcoSan System in Urban Areas: "EcoSan\_UE Project Case Study" in four sectors of Ouagadougou, BF. Presentation to the West Africa Regional Sanitation and Hygiene Symposium, Accra, Ghana, 10-12 November 2009.

the total production of maize of 17 million tons between 1986 and 2006, the acreage effect was greater (50%) than the productivity (39%) and interaction (14%) effects<sup>11</sup>.

#### ☒ *Low adoption of improved technologies:*

Currently, African agricultural production programmes face major constraints including low adoption of improved technologies; inappropriate technologies; institutional issues (weak capacities; lack of consumer and private sector involvement). Another constraint is ineffective agricultural producer support systems and systemic fragmentation between elements of the overall innovation systems (i.e. between research, extension, training, producers' organisations, private sector, consumers' organisations) persist in most of Africa's agricultural institutions and activities hampering progress in the sector.

#### **b- Challenges**

There are various challenges to improving agricultural productivity and these could be addressed through

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<sup>11</sup>Strategy for increasing maize production in semi-arid zones of Africa, FARA 2009

strengthening Africa's capacity for agricultural research and technology development, dissemination, uptake and adoption.

This could be supported through the following:

- ☑ Strengthening agricultural support services (research, extension) through development of relevant capacities;
- ☑ Empowering producers to become active partners in development of research schemes ;
- ☑ Development of viable producer organisations that can represent the interests of farmers;
- ☑ Supporting productivity improvement initiatives such as production of improved farm inputs including seeds, fertilizers and agrochemicals, and farm implements;
- ☑ Up-scaling of agricultural production systems by adopting modern cultural practices; and
- ☑ Improving processing technologies to reduce losses in the food chain thereby contributing to adding value to agricultural products and reducing wastage.



### **c- Opportunities**

#### **☑ *Modernization of the agricultural sector:***

Agricultural production techniques have been improving, especially those dealing with mechanisation of tillage operations, seeding, weeding and post-harvest operations as well as the increased use of agricultural inputs such as improved crop varieties, fertilizers and value addition practices.

#### **☑ *The development of continental frameworks:***

The Framework for African Agricultural Productivity (FAAP) which was designed by FARA and endorsed by the AU to guide

and assist stakeholders in African agricultural research and development, seeks to address the challenges of CAADP Pillar IV (Agricultural research, technology dissemination and adoption). Achievement of the objectives of FAAP will require major investments and improvements in Africa's capacity for agricultural research, technology development, dissemination and adoption, together with enabling policies, improved markets and infrastructure.

☑ *Strengthening producers' capacities:*

This concerns mainly producers' organizations and raising awareness and increased access to knowledge, finance, and market opportunities.

## **2.5 Marketing of Agricultural Products**

### **a- Issues**

☑ *Low competitiveness of agricultural products from semi-arid zones:*

Agricultural products from the semi-arid zones of Africa have not widely marketed leading to low competitiveness. High production and transaction costs, weakness of market-support services (risk management, financial services, transport,

refrigeration, storage, SPO, etc.) and export of raw products are some of the reasons for limited competitiveness of agricultural products from semi-arid zones.

☑ *Poor linkages between agricultural production and national, regional and international markets:*

Agricultural products in semi-arid zones are poorly linked to markets because production is generally not market-oriented. This situation is exacerbated by the lack of market information about prices, opportunities and requirements.

☑ *Low added value of agricultural exports:*

Agricultural export products from semi-arid zones are usually sold in the raw form, without value addition. Processing agricultural products prior to export would give not only add value but also would create employment for local populations.

☑ *Political and institutional impediments to the development of national, regional and international markets:*

National policies dealing with price liberalisation and those aimed at protecting some developed countries; create bias and distortions in the markets. These are unfavourable and restrict access of agricultural products from semi-arid zones into regional and international markets.

- ☑ *Lack of information and competencies for active and efficient participation in the multilateral negotiations processes:*

Globalisation has created new opportunities as well as constraints for new entrants into global markets. Various policies for product prices and for their subsidy are subjected to vigorous negotiations and most representatives from African countries are ill-prepared to deal with these issues.

## **b- Challenges**

- ☑ *Satisfying the needs and requirements of the market:*

In order to allow the agricultural sector to play its role as the driving force for the development of the semi-arid zones, production has to be determined by the needs of the markets. Countries in the semi-arid zones must go beyond exploiting niche markets for high value crops, and go on to introduce competitive and high quality products into the domestic, regional and international markets.

- ☑ *Development of capacities for effective participation in multilateral negotiations:*

The capacity of Africa to effectively participate in multilateral negotiations to improve its bargaining power is still lacking.

## **c- Opportunities**

- ☑ *Agro-ecological diversity offering favourable conditions for agricultural production:*

The semi-arid zones of Africa present diverse ecologies as well as production systems that are unique for some high potential niche crops or activities. Most African agricultural products are by default organic and produced in relatively environmental-friendly way. If these products are eco-labelled, they can achieve greater competitiveness in international markets.

- ☑ *Existence of technologies, innovations and knowledge to improve productivity and competitiveness of agricultural products:*

Technologies, innovations and knowledge are available for improving agricultural production in semi-arid zones of Africa. However, these technologies need to be adopted by resource-poor producers. African agriculture and agribusiness must be transformed to meet the demands of African population.<sup>12</sup>

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<sup>12</sup>Kandeh K. Yumkella et al. UNIDO, 2011 report

## 2.6 Policies and Institutions

### a- Issues

#### ☑ *Effectiveness of Policies and Institutions:*

National policies and institutions are established to provide the framework for agricultural and rural development, especially to address issues which will reduce rural poverty and promote economic development. However, experiences in the semi-arid zones of Africa, suggest that these policies and institutions have generally not achieved their objectives. Innovative reforms of policies and institutions are therefore urgently required to improve the efficiency and effectiveness of agricultural development as the engine to drive rural economic development of the semi-arid zones of Africa.

#### ☑ *Government disengagement:*

National governments have prematurely disengaged from involvement in productive sectors without ensuring that the private sector is capable of effectively taking over these responsibilities. National agricultural research systems (NARS) in Africa continue to face major constraints which hamper

effective delivery of research outputs. According to FARA<sup>13</sup> (2005), these constraints are most evident in the areas of agricultural research management, financial and resource allocation and management, scientific capacity to conduct high quality research and ineffective collaboration and partnerships with development partners. Investment levels in general in many other countries in the region particularly in francophone West and Central Africa, have stagnated or fallen (Lynam et al, 2012).

#### ☑ *Global trade policies:*

Global trade has also not been fully beneficial to developing countries, especially the countries in the semi-arid zones where global trade in agricultural commodities are apparently not favourable for producers in these areas.

### b- Challenges

The major challenge is that of formulating and implementing policies and establishing institutions that can have positive impact on the attainment of food security and promote

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<sup>13</sup> Contribution of the Forum of Agricultural Research in Africa (FARA) to the DFID consultation on a new research strategy, FARA 2005

competitiveness of agricultural production of semi-arid areas of Africa on the global trade arena. To meet this challenge, there should be increased efforts from the public and private sectors, civil society and international and regional agencies and institutions.

### **c- Opportunities**

Significant changes have occurred in Africa's semi-arid zones and there are opportunities for several institutions as well as for implementation of newly developed policies. Among these changes are:

- ☑ The reconsideration of government supporting roles for the agricultural sector in terms of building institutional services and human capacity;
- ☑ Better defined roles of all stakeholders in agricultural development initiatives;
- ☑ Participatory design of policies and strategies for the development of the agricultural sector; and
- ☑ Existence of enabling regional, sub-regional and international environments for increasing investments in the agricultural sector.

## **2.7 Local capacities**

### **a- Issues**

Many programmes were formulated without adequate participation from the intended target beneficiaries; therefore inadequate attention was paid to their peculiar circumstances. Because of the low impact of these programmes, the living conditions of the populations have remained low with increased levels of poverty, notably among women, the elderly and other vulnerable groups.

### **b- Challenges**

Local development is confronted with a number of compounding challenges, these are:

- ☑ The nature of administrative and juridical reforms which will enable local communities to function effectively and be aware of their responsibilities in the development process. This applies especially in the process of decision making for local development plans and programmes and management of local natural resources;
- ☑ Mechanisms for full participation of local populations in development processes, through targeted actions of training, information, and awareness rising,

### **c- Opportunities**

Prevailing international development environment abounds with opportunities for the implementation of programmes for capacity strengthening at local level through the on-going initiatives in various countries. These include the National Poverty Reduction Programmes

associated with continental initiatives such as CAADP, and sub-regional agricultural productivity frameworks, as well as the Action Plans for combating desertification at national, sub-regional and regional levels.

## **Chapter 3: AU-SAGFRAD's Vision, Mission, Mandate, Core value and Key stakeholders**

This chapter presents the Mandate, Mission, Core Values and Stakeholders of AU-SAFGRAD.

### **3.1 AU-SAFGRAD's Vision, Mission, Mandate and Core Values**

#### **3.1.1 Vision**

**Sustainable food security and improved rural livelihoods in semi-arid Africa.**

#### **3.1.2 Mission**

**To accelerate sustainable agricultural development and rural livelihoods in semi-arid Africa by building resilience of rural communities through working in partnership with African and global research and development organizations.**

#### **3.1.3 Mandate**

AU-SAFGRAD's mandate is defined in AU Assembly in 2003 (EX/CL/Dec.34 (III)) and elaborated in 2011 AU Summit (EX.CL/Dec 619(XVII)) as follows:

*To lead, coordinate and facilitate the formulation of appropriate policies and programmes that would build resilience of rural livelihoods in semi-arid Africa through strengthening of institutional capacities aimed at advancing agricultural research, technology transfer and adoption; enhancement of value chains; management of natural resources; and mitigation and adaptation to climate change and combating desertification.*

#### **3.1.4 Core values**

In pursuing its mission, AU-SAFGRAD will need sound guiding ethical principles. In implementing its programmes/activities, the organization will thus be guided by the following core values:

- ☑ **Evidence-based:** SAFGRAD pursues its policy advocacy, capacity building and knowledge management activities on the bases of the best available evidence at the time of the intervention.

- ☑ **Innovativeness:** AU-SAFGRAD supports inventive systems and will work with like-minded institutions that strive to improve agricultural productivity through innovative research.
- ☑ **Teamwork:** AU-SAFGRAD is committed to work with all stakeholders that seek to improve agricultural productivity in semi-arid Africa
- ☑ **Subsidiarity:** SAFGRAD works with other stakeholders and ensures that activities it supports are undertaken at the most local level possible, with AU-SAFGRAD assuming responsibility for which it enjoys clear comparative and strategic advantages.
- ☑ **Transparency:** SAFGRAD's activities are open to public scrutiny and that SAFGRAD shall discharge its responsibilities in compliance with applicable laws and regulations.
- ☑ **Accountability:** SAFGRAD shall take full responsibility for delivering results and for effective use of resources at its disposal.

☑ **Environmental consciousness:** AU-SAFGRAD is committed to environmental conservation while discharging its mandate.

☑ **Solidarity:** AU-SAFGRAD shall take into account in its actions both the responsibilities and interests of other stakeholders.

### 3.2Key AU-SAFGRAD Stakeholders

#### 3.2.1 AU-SAFGRAD's Partners

AU-SAFGRAD needs to be more innovative, forge effective partnerships and alliances, and leverage the expertise and other resources necessary to deliver on its mandate. AU-SAFGRAD's continental political and technical mandate coupled with the imperatives of working in specific agricultural production systems necessitate that it partners with a multitude of stakeholder organizations at different levels – national, regional and international – and of different types – technical and political. Furthermore, the engagement with these organizations will vary depending on the type of activity in question. AU-

SAFGRAD has had excellent longstanding partnerships with a range of national, regional and international organizations. Moreover, AU-SAFGRAD will build on these partnerships, while diversifying its partnership range to bring in new partners relevant for its redefined agenda.



In particular, this Strategic Plan envisages deepening AU-SAFGRAD's engagement with a range of partners – i.e., *stakeholders that engage in joint activity with it*. Forging

partnerships is a dynamic process which hinges both on the nature of planned activities as well as on the evolution of the external institutional environment within which these activities are to be implemented. This notwithstanding, the most pertinent agencies with whom AU-SAFGRAD strives to deepen partnership include the headquarter-based divisions of AUC's Department of Rural Economy and Agriculture (DREA); AUC-DREA's Specialised Technical Offices; the NEPAD Planning and Coordinating Agency (NPCA); Regional Economic Communities (RECs); the Forum for Agricultural Research in Africa (FARA) and its sub-regional organisations (SROs); the Permanent Inter-State Committee for Drought Control in the Sahel (CILSS); the African Climate Policy Centre (ACPC); the Centres and Research Programmes of the Consortium for International Agricultural Research organisations (CGIAR Consortium); technical agencies in the UN system (including FAO, UNEP, the Global Mechanism and the UNCCD Secretariat); and the Technical Centre for Rural Cooperation (CTA).

AU-SAFGRAD has a natural affiliation to work directly with AUC-DREA's Divisions and its Specialised Technical Offices such as

AU-IBAR and AU-IAPSC, with respect to supporting their respective policy development and policy harmonization activities through providing them with field-context issues concerning rural livelihoods in semi-arid zones. Similarly, AU-SAFGRAD will continue partnering with NPCA and RECs in entrenching CAADP values, principles as well as its programmatic thrusts and in supporting the economic integration agenda of the African Union which both NPCA and RECs play leading roles.

On the other hand, AU-SAFGRAD envisages continuing teaming up with FARA and the SROs affiliated with it (such as the West and Central African Council for Agricultural Research and Development – WECARD/CORAF) in the areas of policy and strategic definitions of agricultural research for development, technology generation, dissemination and research-extension-producer linkages – all in the context of the unique features of rural livelihoods in semi-arid zones of Africa. In the same vein, in its role as a focal AU institution for advancing the building of resilience in semi-arid zones of Africa, AU-SAFGRAD intends to deepen its partnerships with some of the more pertinent CGIAR

Centres, including IITA, ICRISAT, ICARDA, and IFPRI. In both cases, SAFGRAD will focus on practical ways of operationalizing – in the context of semi-arid zones - the Memorandums of Understanding (MoU) that both FARA and the CGIAR Consortium signed, at different times, with AUC-DREA.

An important partner in addressing the challenges of rural livelihoods in the drought- and desertification-prone region of the Sahel is CILSS, which has a mandate of investing in food security research and in the fight against the effects of drought and desertification in nine West African countries. Partnership with CILSS will not only enable SAFGRAD to realise synergies for its own operations in west Africa but also will add value to the activities of CILSS through AU- SAFGRAD availing synthesized lessons of experience from across the Continent (such as the Horn of Africa Region) in addressing the challenges of resilience building in moisture-deficit rural livelihood systems. Indeed, during the Strategic Planning period AU-SAFGRAD will do its utmost to renew the MoU that had been in existence with CILSS as a basis for informing and nurturing the envisaged partnership.

The substantial technical expertise at the disposal of FAO will also be brought to bear on SAFGRAD's engagement with promoting resilience building of rural livelihoods in semi-arid zones of Africa. Indeed, AU-SAFGRAD will work towards establishing partnerships with FAO in a proactive manner through a Technical Cooperation Programme (TCP)-type arrangement so as to bolster its own institutional capacity as an honest broker in advancing the resilience agenda in dry land Africa.

Effort will also be exerted towards establishing partnership with the African Climate Policy Centre (ACPC)<sup>14</sup>. Working with ACPC, AU-SAFGRAD could facilitate policy and strategic directions in addressing the challenges of utilisation of improved climate data and information for decision making within the context of semi-arid zones of Africa. Within the UN system, two of the most significant partners in AU-SAFGRAD's engagement with the desertification and climate change agenda during the Strategic

Planning period are the UNCCD Secretariat and UNEP with whom AU-SAFGRAD enjoys healthy working relationships.

As will be elaborated below, during the Strategic Planning period, information and communications management will continue to constitute an important plank of AU-SAFGRAD's activities. Thus, AU-SAFGRAD will seek to initiate partnerships with international organisations, such as CTA, that have a track record of excelling in this area. In fact, AU-SAFGRAD will seize the opportunity of the MoU signed between AUC-DREA and CTA to inform its anticipated partnership with CTA.

AU-SAFGRAD will also work towards ensuring that technical and financial partners – both bilateral and multilateral – continue supporting its activities. In this respect, AU-SAFGRAD will devise instruments and mechanisms for re-establishing its partnership with its historically important partners (e.g. USAID) and many of the financiers and supporters of its recently concluded activities. Included in the latter group are the AfDB and the Arab Fund for Technical Assistance to African Countries (AFTAAC). AU-SAFGRAD will also endeavour to diversify its funding sources

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<sup>14</sup> ACPC is a joint initiative of the AUC, UN Economic Commission for Africa (UN ECA) and the African Development Bank (AfDB). ACPC aims at responding to the urgent challenges that climate change poses to the advancement of Africa's development objectives.

both from traditional bilateral and multilateral donors as well as from emerging partners such as Private Foundations and emerging economies so that it can vigorously implement the proposed programme activities. AU- SAFGRAD will follow up the good start initiated with respect to soliciting technical and organisational cooperation with Arab Organisation for Agriculture Development (AOAD) and the Sahara and Sahel Observatory (OSS). Similar initiatives for financial assistance will also be underway with Islamic Development Bank (IDB).

Finally, AU-SAFGRAD will ensure that African civil society organisations and the private sector appreciate and support its engagements with respect to advancing the cause of rural livelihoods in semi-arid Africa.

### **3.2.2 AU- SAFGRAD's Clients**

To-date, AU-SAFGRAD's clients, i.e., *the direct users of its outputs*, have mainly been national agricultural research systems

(NARS). These entities will continue to be important AU-SAFGRAD clients. In the course of the current Strategic Plan period, however, considerable effort will be exerted to respond to the needs and aspiration of rural livelihoods in vulnerability hot spots such as the Sahel and the Horn of Africa. In addition, in this era of growing climate uncertainties and food price volatilities, AU-SAFGRAD needs to interact more, and directly collaborate with, agricultural producers' and pastoralism organisations with the aim of bolstering the resilience building efforts of small-scale rural operators. Moreover, AU-SAFGRAD will more than ever be involved in support of the CAADP process through engagement with CAADP Country Teams (Public sector (Min. Agric, Environment, Livestock, Water, Finance, Fisheries ...); farmer organisations representatives, private sector, civil society, development partners) at national and REC levels. SAFGRAD's support to RECs will be in consonance with AUC's stated objective of advancing the regional integration objective in a socially equitable manner.



## Stakeholders' analysis, their expectations and roles

<b><u>Stakeholder</u></b>	<b><u>Expectations</u></b>	<b><u>Roles</u></b>
<b><u>Public sector</u></b> <ul style="list-style-type: none"> <li>- Governmental</li> <li>- Inter-governmental bodies</li> </ul>	Efficient and prudent utilization of resources: <ul style="list-style-type: none"> <li>- Timely and accurate information and reports</li> <li>- Clear, timely and objective implementation of decisions and approved programmes</li> </ul>	<ul style="list-style-type: none"> <li>- Creation of enabling national environment (institutions, policies, laws and regulations)</li> <li>- Planning and implementation of policies and strategies (development, research, education/training, extension, etc.)</li> </ul>
<b><u>Sub-regional and regional policy makers :</u></b> <ul style="list-style-type: none"> <li>- RECs (ECOWAS, EAC, ECCAS, CEN-SAD, COMESA, SADC, IGAD, AMU)</li> <li>- AU NEPAD</li> <li>- UN Agencies</li> </ul>	<ul style="list-style-type: none"> <li>- Coordination in the harmonization of the integration processes</li> <li>- Cooperation and collaboration in respect of programmes</li> </ul>	<ul style="list-style-type: none"> <li>- Creation of enabling environment at sub-regional and regional levels</li> <li>- Promotion of cross-boundary cooperation (policy, trade, etc.)</li> </ul>
<b><u>Sub –regional and regional R&amp;D institutions/Organizations:</u></b> <ul style="list-style-type: none"> <li>- SROs,</li> <li>- FARA,</li> <li>- IARCs)</li> </ul>	Greater involvement and input in the decision making processes of the African Union	<ul style="list-style-type: none"> <li>- Sub-regional and regional planning and coordination of R&amp;D</li> </ul>
<b><u>Civil Society Organizations</u></b> <ul style="list-style-type: none"> <li>- NGOs,</li> </ul>	<ul style="list-style-type: none"> <li>- Actualization of African Integration</li> </ul>	<ul style="list-style-type: none"> <li>- Public awareness</li> <li>- Advocacy</li> </ul>

<ul style="list-style-type: none"> <li>- Farmer organizations,</li> <li>- Associations</li> </ul>	<ul style="list-style-type: none"> <li>- Greater involvement and input in the decision making process of the African Union</li> </ul>	<ul style="list-style-type: none"> <li>- Dissemination of innovations</li> <li>- Capacity building</li> </ul>
<b><u>Private sector</u></b>	<ul style="list-style-type: none"> <li>- Encouragement and promotion of viable Private/Public Partnerships</li> <li>- Information-sharing</li> <li>- Promotion of African agriculture</li> <li>- Private Sector Forum</li> </ul>	<ul style="list-style-type: none"> <li>- Resource Mobilization</li> </ul>
<b><u>Strategic Partners</u></b>	<ul style="list-style-type: none"> <li>- Effective coordination with Member States</li> </ul>	<ul style="list-style-type: none"> <li>- Resource Mobilization</li> </ul>
<b><u>Development Partners</u></b>	<ul style="list-style-type: none"> <li>- Transparency and accountability</li> <li>- Timely and accurate information and reports</li> </ul>	<ul style="list-style-type: none"> <li>- <i>Resource Mobilization</i></li> </ul>
<b><u>Media</u></b>	<ul style="list-style-type: none"> <li>- Promotion and engagement as a medium of transmission</li> <li>- Facilitation of access to information</li> </ul>	<ul style="list-style-type: none"> <li>- <i>Public Awareness;</i></li> <li>- <i>Visibility of programmes</i></li> <li>- <i>Information transmission</i></li> </ul>

## **Chapter 4: Strategic Goals and Programmes**

### **4.1 Introduction**

This chapter presents mainly the Strategic Goals, Programmes, and Thematic Focus Areas of AU-SAFGRAD. The Strategic Goals and Programmes have been developed as a response to the issues and challenges facing rural livelihoods in semi-arid zones of Africa through a problem analysis approach that encompasses the mandate of AU-SAFGRAD and stakeholder expectations. The presentation on the substantive aspects of Goals and Programmes is preceded by brief background information on the conceptual and programmatic contexts within which the goals and programmes will be implemented.

As will be elaborated below, ‘resilience building’ and ‘programmatic support to CAADP’ will constitute the two overriding concerns of AU-SAFGRAD in this Strategic Planning period.

It is now widely recognized that desertification, climate change and variability are likely to exacerbate the plights of the people eking out a living in such marginal environments as semi-arid

zones of Africa. The effort of national governments and international actors in mitigating the effects of the various disasters afflicting the population in these areas has succeeded in saving lives, and – to a degree – protecting livelihoods from worsening further. Nevertheless, much of the effort to-date has failed to enhance the capacity of affected populations to withstand future shocks and stresses. This state of affairs has led to the increasing prominence of the concept of ‘resilience’ as a unifying policy and programming parameters straddling the traditional approaches of humanitarian emergency and longer-term development endeavours. AU-SAFGRAD considers itself as uniquely positioned not only to advance the resilience building agenda but also to customize resilience in the context of its mandate as an AU institution involved in promoting rural livelihoods in the semi-arid zones of Africa.

Moreover, AU-SAFGRAD recognizes that the long-term solutions to the technical and institutional challenges facing the agricultural sector in semi-arid zones of Africa lies in the implementation of CAADP through problem-focused, purpose-tailored and resource-based approaches. Thus, during the

current Strategic Planning period, SAFGRAD will play a prominent role in supporting the CAADP Roundtable process. At the country level, the process starts with holding a national launching event involving key state and non-state actors. It is an event demonstrating national commitment to the CAADP principles, targets and pre-requisites. The launching event is followed by putting institutional and technical arrangements towards preparing the documentation and logistics for holding a Roundtable meeting whose main outcome is the signing of a Compact. The Compact outlines the country's substantive agricultural and operational strategy for CAADP implementation. The Compact, although an important milestone, has to be followed up by investment plan formulation and review processes. Organisation of a High-Level Business Meeting, where institutional and financial commitments are made and financing modalities outlined, is the culmination of the CAADP *planning* process. Similar procedures are also followed in pursuing CAADP at the REC level.

Within the above context, the Strategic Plan will pay particular attention to the mainstreaming of gender issues and concerns into its programme activities. This is predicated on the

realization that gender considerations – especially addressing the plights of women, who constitute by far the greatest proportion of the rural work force. Encouraging women's productive work can have the effect of increasing their visibility, respect and status in society. In addition, the essential role of women farmers warrants actions to enhance their decision-making, managerial, and technical capacities. On the other hand, all of the proposed activities will take into account inter-generational equity issues, giving particular emphasis on factors enabling job and wealth creation for the youth, who in Africa constitute a significant proportion of the rural population.

#### **4.2An Overview of AU-SAFGRAD's Strategic Goals, Programmes and Thematic Focus Areas (2014 – 2017)**

In the pursuit of its mandate and attainment of its vision and mission, AU-SAFGRAD has identified **two** inter-related **strategic goals** that it envisages meeting through the implementation of **four** substantive **programme areas**. These are discussed below.

#### **4.2.1 Strategic Goal 1(Outcome1<sup>15</sup>): To strengthen policies, institutions and strategies that help enhance the resilience of rural livelihoods in semi-arid zones of Africa.**

As an institution created by the AU Heads of State and Government, AU-SAFGRAD has unparalleled access to policy-makers and forums and possesses a unique convening power in all of the semi-arid zones of Africa, which can be exploited to facilitate policy dialogue, convey key policy messages, support institutional development of key livelihood interest groups, facilitate learning across the various livelihood systems, and help promote the resilience of rural livelihood agenda at continental and global levels.

In order to achieve the above-stated strategic goal, AU-SAFGRAD has identified two inter-related programmes and several thematic focus areas under each of them. These programmes are: (1) *Capacity building support for policy development and resilience programming*; and (2) *Strengthening producer (agricultural livelihood-based) organisations in semi-arid zones*

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<sup>15</sup>See Appendix 1: Logical Framework

##### ***4.2.1.1 Programme 1(Output1<sup>16</sup>): Capacity building support for policy development and resilience programming***

There is a consensus among development practitioners that approaches to building resilience should be firmly backed by policy measures that provide overall guidance to realizing synergistic effects between humanitarian assistance programmes, livelihood security development interventions, climate change adaptation, social protection, peace building and governance activities. Furthermore, there is a need to anchor resilience programming in desirable principles and working practices<sup>17</sup>. It is, therefore, essential that senior technical experts, policy executives as well as decision-makers (including the legislative wing of governments) in semi-arid zones of Africa be provided with opportunities to enhance their skills and expertise in the new dispensation.

Against this background, the Strategic Plan envisages focusing the thrust of *Programme1* on a range of thematic areas. These include:

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<sup>16</sup> See Appendix 1: Logical Framework

<sup>17</sup>Frankenberger et al (2012). "Enhancing Resilience to Food Security Shocks". TANGO International, Inc. Draft Discussion Paper

***(i) Policy dialogue on key issues affecting resilience of rural livelihoods in semi-arid zones of Africa:*** As an AU institution, AU-SAFGRAD is well-placed to convene dialogue forums aimed at developing, domesticating and customizing AU-led policy frameworks and programmes that have direct bearing on the improvement of rural livelihoods in semi-arid zones of Africa. These include the AU Land Policy Framework and Guidelines, the AU Pastoralist Policy Framework, (when finalized) the AU Climate Change Strategy, and the Great Green Wall for the Sahara and the Sahel Initiative. In particular, working mainly with the Divisions of AUC-DREA and the Land Policy Initiative Secretariat, AU-SAFGRAD envisages establishing regular policy dialogue/discussion platforms for exchanging and debating progress with, and experiences from, the implementation of the above-noted AU policy and programme frameworks in the context of resilience building in semi-arid zones of Africa. Through organizing ‘Policy dialogue fora’, AU-SAFGRAD also envisages facilitating the policy review and harmonization mandate of the AUC as these relate to advancement of rural livelihoods in dry land Africa.

***(ii) Policy analysis and training focusing on building resilience:*** Building on the experiences gained so far, AU-SAFGRAD envisages broadening its engagement with development policy makers and senior agricultural researchers from carefully selected and prioritized country (and sub-national) constituencies through developing demand-driven and client-oriented periodic policy analysis and policy training schemes. It is anticipated that much of the training and experiential learning work in this context will be on issues of policy efficacy around issues of harnessing small-scale agriculture for combating desertification, climate change adaptation and resilience building; use of climate data and information for decision making; policy responses to food security shocks; and strategies for disaster risk reduction. In this endeavour, AU-SAFGRAD envisages soliciting expert support from some of its partners.

***(iii) Support programme design, review and monitoring and evaluation in semi-arid zones as part of CAADP-based National Agricultural and Food Security Investment Plans (NAFSIPs):*** The CAADP process puts premium on evidence-

based planning and outcome-orientated M & E. Over the last four years, CAADP has registered considerable process-related achievements. These include the signing of CAADP Compacts by 30 AU Member States<sup>18</sup>, which demonstrate commitments by all national stakeholders in the identification of appropriate policies, strategies and programs sufficient for enabling the agricultural sector to play the role expected of it in national development endeavours. Out of these, 23 countries have completed the formulation of CAADP-based country investment plans which have also been independently reviewed. Almost all of these countries have had their Business Meetings, where key stakeholders expressed broad indications of commitments for implementation and financing.

During the Strategic Plan period, AU-SAFGRAD will intensify efforts to mobilise both its own as well as partners' expertise so that rural livelihoods in some of the most notable semi-arid zones of Africa are given due consideration in the development process of CAADP-based investment plans and programmes. To

this end, AU-SAFGRAD will collaborate with relevant RECs (including the Inter-Governmental Agency for Development – IGAD – and ECOWAS for the Horn of Africa and the Sahel regions, respectively), AUC-DREA's CAADP Team and that of the NEPAD Agency both in the identification of areas of expertise for its engagement as well as in charting follow up actions that may be necessary to ensure that implementation of programmes addressing resilience in such moisture deficit areas are prioritized.

#### ***4.2.1.2 Programme 2(output2<sup>19</sup>): Strengthening producer (agricultural livelihood-based) organisations in semi-arid zones***

As noted earlier, livelihoods in semi-arid areas are under considerable threat. This trend, if not addressed comprehensively, will continue to plague the sustenance of livelihoods in these areas which are also often characterized by infrastructural deficit and suffer from policy indifference and neglect. From experience working in the Semi-Arid Zone , AU-SAFGRAD is aware of the existence of several agricultural-livelihood based organisations (including farmers'

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<sup>18</sup>CAADP-related achievements referred to in this section are valid as of 31 August 2012.

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<sup>19</sup> See Appendix 1: Logical Framework

organisations, commodity-based unions, fishers' folk organisations, and forest value chain associations) with varying organisational strengths. It is of utmost importance that these livelihood-based organisations are given the attention they deserve so that they articulate the needs and aspirations of their members in an evidence-based manner, inform policy development, and expedite programme formulation and implementation. This is also consistent with CAADP principles and values, where inclusiveness and building of alliances with the non-state actors is a critical consideration.

More specifically, in line with its mandate of institutional capacity building and value chain enhancement, and recognizing AU's role in advancing the CAADP agenda, SAFGRAD will focus on the following two broad thematic areas of intervention that are pertinent to *Programme 2*

***(i) Support institutional development of producer (agricultural livelihood-based) organisations and their engagement with CAADP:*** AU-SAFGRAD recognises the substantial effort that a number of agencies (including

international NGOs) exerted in the development of the capacities of producer organisations in dry land Africa. However, studies undertaken to inform CAADP's inclusiveness agenda have shown that throughout the Continent non-state actors (NSAs) in general and those of producer organisations in particular have had limited (albeit growing) influence in informing CAADP deliberations<sup>20</sup>. This is attributed both to the lack of political will among national governments to engage NSAs in 'policy co-creation' as well as to the lack the skills of advocacy, negotiation, consultation, and dearth of capacity in making informed position on the part of NSAs. An important initial activity for AU-SAFGRAD in this regard is to undertake a meta (scoping) study of agricultural livelihood-based organisations in hot-spot areas of the semi-arid zones of Africa with a view to identifying a set of target organisations and priority areas for institutional support in the context of advancing the CAADP agenda.

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<sup>20</sup>CAADP Working Group on Non-State Actor Participation (2010). "Options Paper: How to Boost Non-State Actor Participation in CAADP".

In this respect, considerable emphasis will be given to partnering with the “CAADP NSA Working Group” which has been established to identifying challenges to, and opportunities for, the engagement of NSAs in the CAADP process. AU-SAFGRAD’s comparative advantage in this endeavour lies in its focus on hubs of agricultural livelihood-based organisations from regions with high degrees of vulnerability to climate and food security shocks and whose concerns may not necessarily be articulated as efficiently in the broader NSA constellation.

Indeed, using the convening power of AUC, AU-SAFGRAD will seek to ensure that country and sub-national level platforms of agricultural livelihood-based organisations are networked together. This will form a basis for developing the necessary institutional capacity for effective information sharing, consultation and lesson learning regarding CAADP and for creating more visibility in policy discussion forums.

**(ii) *Support the promotion of strategic agricultural value chains in semi-arid zones:*** Studies have shown that the majority of African farmers are disconnected from the regional commodity market largely because of limited efforts at

promoting the agri-business stages of the commodity value chains. Cognisant of this, at the AU Food Security Summit in Abuja, Nigeria in 2006, Africa committed itself to support value chain orientated actions to increase Intra-African trade by promoting and protecting some nine agricultural products<sup>21</sup> as strategic commodities at the continental level, and cassava, sorghum and millet at sub-regional level without prejudice to focused attention being given also to products of particular national importance<sup>22</sup>. The CAADP agenda also encourages the development of commodity platforms in accordance with countries’ perceived comparative advantage and need. Consequently, value chain development has featured as a major component of several CAADP-based NAFSIPs.

There is, however, a concern that weak skills and capacities of producers, coupled with virtual absence of stakeholder networking and knowledge sharing on value chain development, are likely to militate against agricultural producers reaping

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<sup>21</sup>Rice, Maize, Legumes, Cotton, Oil palm, Beef, Dairy, Poultry and Fisheries.

<sup>22</sup>UNECA and AUC (2009) “Economic Report on Africa 2009: Developing African Agriculture Through Regional Value Chains”.UNECA. Addis Ababa. Ethiopia.

optimal returns from engagement with agricultural value chain development activities. Evidently, the infrastructure deficit characterizing most semi-arid zones of Africa accentuates the challenges of rural producers in this regard as well. It is now widely recognized that sustainable market-oriented agriculture is a key feature of the transition from poverty to prosperity<sup>23</sup>.

Against this backdrop, AU-SAFGRAD – working in partnership with RECs and SROs - envisages providing institutional development support to selected agricultural livelihood organisations in semi-arid zones of critical production and marketing corridors so that they stand to benefit from agricultural value chains. This presupposes identification of agricultural value chains where AU-SAFGRAD's advocacy and coalition building efforts are adjudged to make a difference.

#### **4.2.2 Strategic Goal 2(Outcome2<sup>24</sup>): To enhance African capacities in research, technology dissemination and knowledge management for building the resilience of rural livelihoods in semi-arid zones of Africa**

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<sup>23</sup>World Bank (2009).World Development Report.-Agriculture for Development.

<sup>24</sup> See Appendix 1: Logical Framework

Whilst semi-arid zones of Africa are often seen as poor in terms of natural resource endowments, AU-SAFGRAD is a testimony to the resourcefulness of the inhabitants of the rural areas of these zones. With systematic injection of modern science and technology into the agricultural production systems of these areas it should be possible to bring about resilient and sustainable rural livelihoods. In this regard, it is of utmost importance that policy, technology and funding biases against the development of semi-arid zones and their livelihoods support systems be addressed in a coordinated manner.

As a specialised technical agency of the AU, AU-SAFGRAD is intent on building on its track record of coordinating and encouraging agricultural technology development and transfer activities that have proven pro-poor benefits in semi-arid zones. However, in the current Strategic Plan period more emphasis will be placed on supporting FARA and SROs in addressing key research policy and strategy constraints in semi-arid zones of Africa through use of a combination of technical-cum-political advocacy fora (such as AU-organised Conferences of Ministers of Agriculture and the CAADP Partnership Platform meetings) and

targeted innovation-inducing and knowledge management mechanisms. These activities will also be informed by a careful sifting of success stories at the levels of policy and practice which SAFGRAD will continue to undertake as well as through its engagement with the CAADP process.

In order to achieve the above-stated strategic goal, AU-SAFGRAD has identified two inter-related programmes and several thematic focus areas under each of them. These programmes are: *(1) Facilitation of agricultural research and transfer of technologies and innovations in the context of semi-arid zones; and (2) Knowledge management, networking and communication.*

#### **4.2.2.1 Programme 3(Output3<sup>25</sup>): Facilitation of agricultural research and transfer of technologies and innovations in the context of semi-arid zones**

As intimated above, this programme will enable AU-SAFGRAD to transit progressively from the largely technology brokering role it has played for the last three decades to one that positions

itself to enhancing the visibility and capacity of organisations undertaking research into the amelioration of rural livelihoods in semi-arid zones. Thus, some of the activities envisaged under this programme significantly compliment with those identified in the Programmes addressing Strategic Goal 1.

***(i) Facilitate technology generation that would strengthen resilience in semi-arid zones through capacity strengthening of research institutions:*** AU-SAFGRAD envisages pursuing a two-pronged approach in facilitating processes of technology generation. One of these is through creating or facilitating the operationalization of platforms where research policies and strategies that address the resilience building agenda in semi-arid zones of Africa are deliberated on and appropriate policy reform recommendations made. This will be done primarily in collaboration with international, regional and sub-regional R&D organizations. In this respect, AU-SAFGRAD will also use its access to AU policy organs to ensure that continental level agricultural research policy statements and commitments reinforce the science and technology agenda in support of agriculture in semi-arid zones of Africa. AU-SAFGRAD's role in

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<sup>25</sup> See Appendix 1: Logical Framework

research facilitation is also expected to be through supporting the research process both upstream and also, downstream. In particular, it is envisaged to undertake targeted resource mobilisation drives so that AU-SAFGRAD acquires seed money to institute schemes such as competitive grants as a means of encouraging innovations on carefully selected, niche, and scalable adaptive research activities that promote the resilience agenda.

***(ii) Facilitate dissemination of technologies that would enhance resilience and contribute to climate change mitigation and adaptation:*** The position of AU-SAFGRAD as a continental research facilitation-cum-policy advocacy mandate in Africa's dry lands makes it particularly suitable to disseminate globally generated and arid production system-specific innovations through NARS at a scale that either individual NARS or SROs are able to do. In the past, such a 'one stop shop' approach in the dissemination of CGIAR research results has proven useful and cost effective.

Thus, in the Strategic Plan period, AU-SAFGRAD will embark on exploring opportunities for research dissemination collaboration with some of its traditional partners in the CGIAR system, including IITA and ICRISAT. Such a move will also attempt to draw lessons from past partnerships so that the dissemination drive covers the full gamut of variety evaluation, and facilitation of adoption and upscaling. The MoU concluded between AUC-DREA and the CGIAR Consortium is believed to facilitate the expected partnership with some of these international agricultural research centres.

Another dissemination-related line of activity which AU-SAFGRAD aspires to be involved in relates to its capacity to serve as a platform for information exchange on semi-arid focused technology generation activities of NARS. This is an activity that could be undertaken in close collaboration with SROs. It should, however, be appreciated that the value addition of AU-SAFGRAD's involvement in this respect lies in its capacity – as an AU technical institution – to also mobilise global research, development, and agricultural information and communications management organisations in this endeavour.

#### **4.2.2.2 Programme 4(Output4<sup>26</sup>): Knowledge Management, Networking and Communication**

AU-SAFGRAD recognizes that access to knowledge and timely information as well as sharing knowledge across the key stakeholders and the general public is critical in taking informed decisions on all aspects of activities for which it is mandated. Resilience building demands that actors along the broader agricultural value chain adopt best practices and up-to-date technologies, access relevant advisory services and market information. In order for knowledge-sharing in semi-arid zones to have a sustainable impact on rural livelihoods scalable policy and institutional innovations, the myriad promising introduced technologies and working practices, and the hitherto undervalued indigenous technical and organisational knowledge be systematically captured, processed and disseminated in a targeted manner. Moreover, in order to ensure continuous flow of information about, and engender a heightened interest in, rural livelihoods issues in semi-arid zones, it is of paramount importance that sustainable information and knowledge networks be created and nurtured.

In line with the above, and taking into account the mandates and expertise of AU-SAFGRAD, this Strategic Plan has identified three interconnected strands to address the broader issue of knowledge management in the context of rural livelihoods in semi-arid zones of Africa.

##### ***(i) Documentation and sharing of success stories and lessons learnt:***

Building on its experiences in this regard, AU-SAFGRAD – in close partnership with its key technical partners – will continue documenting interventions that worked in favour of building the resilience of rural livelihoods in semi-arid zones of Africa. To this end, it will mobilise the services of actors and its clients at national and sub-national levels to pay particular attention to triggers and drivers of change and development at local levels. The specific types of knowledge products, target audiences and dissemination mechanisms will be worked out as part of the development of a comprehensive Communications Strategy which AU- SAFGRAD will embark on towards the beginning of this Strategic Plan period. [For some details on this see Section 5.4 below.]

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<sup>26</sup> See Appendix 1: Logical Framework

This notwithstanding, it is envisaged to make use of a combination of print and electronic media including Information Notes, Policy Briefs, bi-annual periodicals, quarterly e-newsletters, subscription of op-eds in major newspapers, as well as sponsorship of radio programmes in selected vulnerability hotspots (such as the Horn of Africa and the Sahel regions).

***(ii) Coordination of the Thematic Programme Network for the Promotion of Sustainable Agricultural Farming Systems to Combat Desertification (TPN6) of the UNCCD:*** This is an ongoing global responsibility that AU-SAFGRAD has been entrusted with. It is anticipated that this activity will continue focusing on the documentation and dissemination of interventions and practices that abate desertification and help sustain agricultural production systems. Using the additional global mandate, AU-SAFGRAD will also endeavour to advance the causes of Africa's semi-arid zones in global climate change negotiations and sustainable development deliberations. In this respect, AU-SAFGRAD will exert efforts to forge partnerships with UNEP and the UNCCD Secretariat and the pertinent CGIAR Centres and Research Programmes so that work streams having global

desertification significance and of value to Africa's semi-arid zones can be charted out collaboratively.





***(iii)Support ‘resilience-oriented’ thematic networks under the CAADP Knowledge, Information and Skills (KIS) support system:*** The CAADP KIS support system is an evolving initiative aimed at supporting the development of skills and analytical capacities in support of accelerated CAADP implementation at the national level. The approach also allows for the engagement

of AUC and the NEPAD Agency. These pan-African organisations are expected to ensure that the priorities of the continent drive partnership programmes with global bodies. They are also expected to provide continent-wide learning opportunities and access to targeted knowledge by using various approaches including *thematic networks* on a range of subject matters critical for the success of CAADP.

In this respect, AU-SAFGRAD will advocate for the establishment and operationalization of thematic networks that address issues of drought, desertification and climate change adaptation. Furthermore, AU-SAFGRAD – in close collaboration with the headquarter-based Divisions of DREA - will provide the necessary leadership in availing and coordinating the expertise needed to advice and drive the above-noted type of thematic networks under CAADP KIS.

## **Chapter 5: Implementation mechanism and Capacity DevelopmentArrangement**

### **5.1 Implementation mechanism**

The process of developing this Strategic Plan was consultative and participatory and included both external and internal stakeholders. The staff of AU-SAFGRAD form important part of internal stakeholders; equally, they need to workhand-in-hand with external stakeholders as they develop well-focused activities and tasks that are aimed at implementing the Strategic Goals and Programmes that are outlined in the preceding chapter of this Strategic Plan. In this regard, a logical framework has been developed (see Appendix 1) as a delineation of the activities to be implemented, and outputs that will contribute to the outcomes that AU-SAFGRAD's programmes intend to realise at Country and REC levels. The framework also contains performance indicators, sources of information which will be used to monitor implementation and key assumptions at all levels.

Successful implementation of the Strategic Plan is largely premised on the following assumptions:

- ☑ AU-SAFGRAD will get full support from all stakeholders;
- ☑ AU-SAFGRAD Sufficient financial and human resources will be availed in the right time frame ;
- ☑ Networking and collaboration between AU-SAFGRAD and Stakeholders/ Partner Institutions will be enhanced;
- ☑ Persons/organizations responsible for implementing various strategic goals and programmes are accountable for results; and
- ☑ Periodic reviews will be undertaken and remedial actions taken promptly.

### **5.2 Monitoring and Evaluation Plan**

During implementation of this Strategic Plan, there will be continual and participatory monitoring and evaluation by all stakeholders. The logical framework (Appendix 1) forms the basis for monitoring and evaluation (M&E). Traditionally, M&E is carried out to ensure accountability for results. Moreover, stakeholders will expect information on how AU-SAFGRAD utilizes their resources in pursuant of expected outputs and outcomes. These accountability requirements make it

mandatory for AU-SAFGRAD to prepare periodic progress reports, and undertake mid-term and annual evaluations.

The purpose of monitoring is to ensure that activities are proceeding according to plan, to provide a record of how inputs are used, and to warn of deviations from initial goals and expected outcomes. It is a process that systematically and critically observes events connected to a project in order to control activities and adapt them to the conditions.

In the context of AU-SAFGRAD, monitoring will trail efficiency and sequencing use of resources through periodic recording, analysis, reporting and storage of data on key performance indicators. Proper monitoring enhances the accuracy and completeness of the collected information, increases the focus of the participating staff and reduces the time lag for management corrections. It is also hoped that the monitoring process will have in-built mechanisms so that lessons learnt in the course of programme implementation are fed into AU-SAFGRAD's programmes to inform subsequent actions. Besides, Monitoring is essential for evaluation.

Evaluation is a result oriented assessment at a point in time that determines the worth, value, or quality of any activity, project, programme, or policy. Through evaluation, AU-SAFGRAD will assess its effectiveness towards the following:

- ☑ Successful completion and relevance of activities ;
- ☑ Realization of intended outputs;
- ☑ Attainment of anticipated outcomes; and
- ☑ Achievement the ultimate goal/impact of AU-SAFGRAD

### **5.3 Communication Strategy**

As an integral part of AU-SAFGRAD's implementation strategy of this Strategic Plan, the Office will embark on enriching the existing draft communications strategy that would help the AU-SAFGRAD fulfil its mandate and enhance its impact on target groups. The specific objectives of the strategy include the following: (i) to increase the visibility of AU-SAFGRAD and its mandate and activities; (ii) to consolidate the involvement of the stakeholders and the commitment of partners; and (iii) to facilitate information and knowledge sharing between the various members.

The key target group categories of the communications strategy are the following stakeholders: Government departments of agriculture, food security and natural resources; sub-regional and regional R&D organizations (including SROs); national and international research centres; educational establishments and institutions; bilateral and multilateral donor organizations; NGOs and community-based organizations; and the private sector.

For effectiveness, each of the stakeholder categories will be addressed in a specific manner with relevant messages and appropriate tools and channels. In order to reach the various targets with efficiency and relevance, AU-SAFGRAD proposes to use the following communication tools and channels: (i) electronic tools – these include: The AU-SAFGRAD website, newsletters, electronic forums, mailing list and discussion groups, social networking and data bases. (ii) Printed documents and outreach materials, whereby the documents could either be produced in electronic formats and posted in AU-SAFGRAD website or sent by emails or documents such as studies and technical reports as well as outreach materials

(flyers, banners, leaflets etc.) Will be printed in hard copy to facilitate their dissemination. (iii) Mass media and traditional channels (including television, radio and newspaper) are expected to continue to play important roles in terms of enhancing public awareness in a cost effective manner. In addition, due to their specificities, rural areas will be reached by using traditional channels (tales, dramas, etc.) appropriate to specific target groups. (iv) Face to face meetings and advocacy. (v) Awards -attractive awards will be institutionalized to provoke the interest and commitment of some keys actors such as scientists, researchers, research organizations as well as NGOs. The award will target both individuals and organizations.

As it moves to a more proactive organization seeking resources to deliver on its communication strategy, AU-SAFGRAD will pay special attention to relationship management, including proactive communication with its donors and partners. In its information broker and advocacy roles, AU-SAFGRAD will, through the knowledge management programme activities, collate, synthesize and disseminate information, knowledge and public awareness materials to its key clients and other

stakeholders. One avenue for this will be through the production of policy briefs and papers.



In addition, AU-SAFGRAD will seek to engage the media as a strategy for ensuring that information going out to the public is accurate and that, over time, AU-SAFGRAD seeks to be

recognized by the media and the general public as an authoritative source of reliable information on semi-arid zone issues in Africa.

Meanwhile, AU-SAFGRAD has good library at its office; yet, the resources are not widely known and used. AU-SAFGRAD will invest in transforming this library into a more relevant facility, providing more up-to-date information through both online and in-print access. In this regard, resources will be sought to procure computers and good Internet access, to transform the library into a modern information centre as part of the development of the new programme area on knowledge management.



#### **5.4 Capacity Development Strategy for Human Resource**

Staff of AU-SAFGRAD constitutes the most important resource. Human capital is central to realizing the anticipated results of facilitating enhanced generation of technologies, transfer of knowledge and technologies. To make a positive impact at national, regional and continental levels through a transformational multifaceted and multi-dimensional approach towards increasing productivity and profitability of semi-arid

zones of Africa, AU-SAFGRAD will continuously engage and challenge its human capital. To do this, the organization will work within the framework of the recently revised AUC Staff rules and regulations and implement its staff productivity enhancement programmes accordingly.

AU-SAGRAD will identify its priorities for human resource development through human resource planning. The key elements of human resource development are learning, education and training. AU-SAFGRAD lays emphasis on training that focuses on the job training, role based training and career development. AU-SAFGRAD adopts a holistic approach to development of human capital whereby individual staff needs are assessed along with operational and organizational needs. Once these needs are identified, individuals are trained and capacities developed. It should be underlined here that the Strategic Goals and Programmes are identified in this Strategic Planning document will be used as a basis for informing staff capacity requirements and objectives.

In line with the African Union's policy of Results Based Management (RBM), AU-SAFGRAD will implement staff performance contracting, where staff will be assigned specific roles and responsibilities that are geared towards implementing this Strategic Plan. In this regard, Performance Management will emphasize development and the initiation of self-managed performance plans that are geared towards achievement of individual, operational and organizational objectives.

AU-SAFGRAD is aware of the fact that motivating employees is key to the success of an organization. Although the organization aspires to achieve sustainable and high levels of performance through effective use of the capabilities and skills of its employees, it does not have a comprehensive motivation strategy. In this regard, during the Strategic Plan period emphasis will be placed on working closely with relevant departments of the AUC to develop motivational approaches focusing on terms and conditions of service, as well as institutional culture change that take into account the core values, shared vision and mission, team work and focusing on all stakeholders.

## 5.5 Organizational Structure

AU-SAFGRAD is a specialized technical office of the AUC. It is headed by a Coordinator who reports directly to the AUC through the Department of Rural Economy and Agriculture (DREA). The Coordinator provides strategic leadership and has day-to-day programme and management responsibilities aimed at implementing activities of AU-SAFGRAD through programmes and projects. There is also a multi-stakeholder Steering Committee which provides technical oversight and guidance<sup>27</sup>.

The structure below, as endorsed by AU Heads of State Summit in Maputo (2003), envisages the deployment of three Officers to coordinate AU-SAFGRAD's substantive engagements, all of whom reporting directly to the Coordinator – two in charge of Programmes and the third one covering Information and Outreach activities. As regards administrative aspects, Finance and Administration Officer, reporting directly to the Coordinator, oversees the provision of the needed support

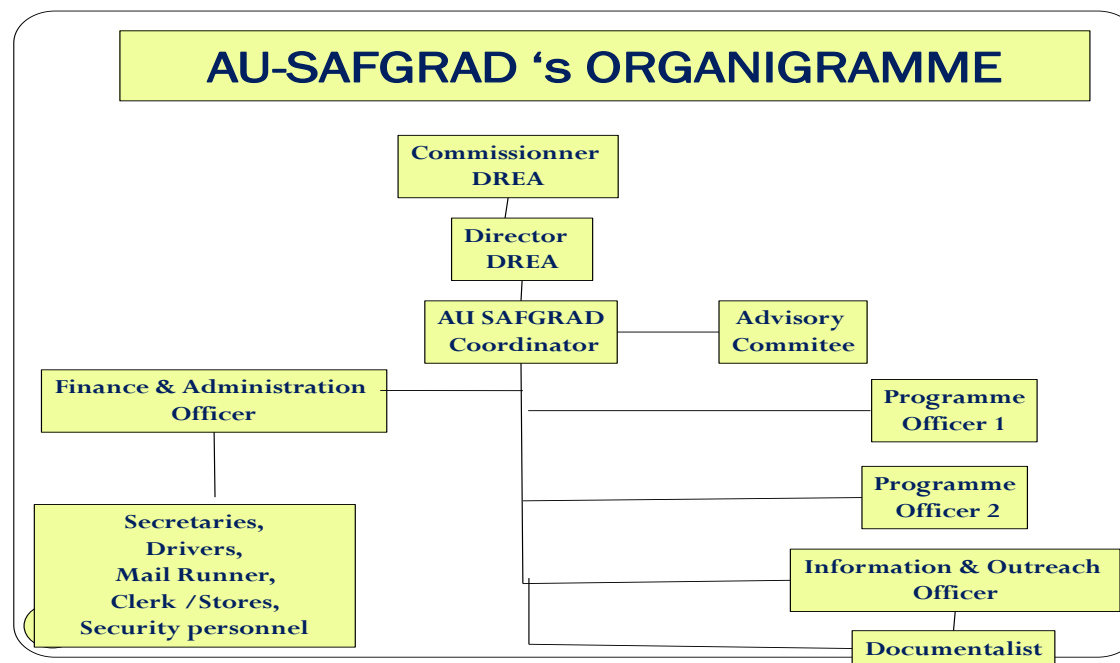
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<sup>27</sup> This Committee consists mainly of pertinent AUC Departments and Specialised Offices, RECs, FARA, Representatives of Farmers Organisations/Associations, and Representative of the Private Sector in agro-industry. It meets at least once a year to review planned activities and implementation progress.

services to all programme activities. Moreover, AU-SAFGRAD has general service staff such as secretaries, mail runner, stores man, drivers and security guards.

As of now, the structure outlined above works well for AU-SAFGRAD, and should need arise it can be amended to support effective and efficient programme implementation.

• **Figure 1: Organizational Structure**





## **5.6 Financial Resources**

Located in Ouagadougou, Burkina Faso AU-SAFGRAD has a host agreement with the government of Burkina Faso that enabled AU-SAFGRAD to obtain office premises from the Government.

The Office funds all its operational costs through funding from AU Member States' contributions to the AU Commission. Moreover, AU-SAFGRAD finances coordination of its programmes/activities through an annual programme budget largely from development partners with some resources from AU Member States' contributions. AU-SAFGRAD also works with several development partners to implement programmes at national and regional levels. AU-SAFGRAD will intensify its endeavours to mobilise resources from its development

partners so as to meet the various outputs its plans to deliver during the Strategic Plan period. In general, financial resource acquisition and management in AU-SAFGRAD shall be seen as a set of activities aimed at putting financial resources into efficient and effective use in order to attain its strategic goals by implementing stated programmes. As a technical office of the African Union, AU-SAFGRAD is guided by the AU policies and consequently manages its financial resources within the framework of AU financial rules and regulations.

## **5.7 Estimated Budget (2014-2017)**

To fully implement this Strategic Plan, the indicative budget projection for the period 2014-2017 is USD 65 million. Detailed annual indicative budget breakdown on output bases are provided in the Action Plan.

## Appendix 1: Logical Framework

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
<b>Impact:</b> Sustainable food security and improved rural livelihoods in semi-arid Africa	X% annual increase on Human Development Index (HDI) in semi-arid Africa from Africa's average of 0.463 in 2011	Annual Africa Development Report: Towards a Food Secure Future	1. Peace and Stability maintained 2. Favorable economic conditions
<b>Outcome 1:</b> Strengthened policies, institutions and strategies for enhancing resilience of rural livelihoods	1. %age annual growth in agriculture	FAO annual reports; Government annual reports	Countries willing to adopt policies
<b>Output 1.1:</b> Capacity building activities for policy development and resilience programming supported	1. No. of countries participating in policy development and resilience building programmes 2. No. of organizations participating in policy development and resilience building programmes	SAFGRAD Reports	1. Effective stakeholder participation
<b>Activity 1.1.1:</b> Establish policy dialogue and review platforms	1. No. of policy dialogue and review platforms established	SAFGRAD Reports	1. Stakeholders participate 2. Availability of financial resources
<b>Activity 1.1.2:</b> Organize an African ministerial Conference for SAZ related issues	1. One ministerial conference organized	Conference report	Availability of financial resources
<b>Activity 1.1.3:</b> Organize policy analysis and policy training sessions	1. No. of policy analysis sessions held annually 2. No. of policy training sessions held	SAFGRAD Reports	1. Stakeholders participate 2. Availability of financial resources
<b>Activity 1.1.4:</b> Support the CAADP roundtable process through expert deployment for both Compact and post-Compact analytical works	1. No. of experts deployed for CAADP Compact and post-Compact analytical works	SAFGRAD Reports	1. Availability of appropriate CAADP experts 2. Availability of financial

			resources
<b>Output 1.2:</b> Agricultural livelihood-based Producer organizations in semi-arid zones of Africa strengthened	1. No. of agricultural livelihood-based Producer organizations operating in semi-arid Africa in a given year	SAFGRAD Reports	1. Effective stakeholder participation
<b>Activity 1.2.1:</b> Provide institutional capacity building support to agricultural livelihood-based organizations.	1. No. of trainings on organizational development and governance conducted 2. No. of networking sessions held	SAFGRAD Reports	1 Agricultural livelihood-based Producer organizations willing to participate 2 Availability of appropriate capacity building experts 3 Availability of financial resources
<b>Activity 1.2.2:</b> Facilitate the engagement of hubs of agricultural livelihood-based organizations with CAADP country and REC roundtable processes.	1. No. of CAADP country and REC roundtable meetings held in semi-arid zones of Africa No. agricultural livelihood-based organizations attending with CAADP country and REC roundtable processes meetings held in semi-arid zones of Africa in a given year	SAFGRAD Reports	1. Agricultural livelihood-based Producer organizations willing to participate 2. CAADP country and REC roundtable processes willing to accommodate producer organizations 3. Availability of financial resources
<b>Activity 1.2.3:</b> Facilitate gainful involvement of livelihood-based organizations in critical agricultural value chains for improvement of pro-poor rural livelihoods.	1. No. of meetings held for livelihood-based organizations in critical agricultural value chains for improvement of pro-poor rural livelihoods	SAFGRAD Reports	1. Agricultural livelihood-based Producer organizations willing to participate 2. Availability of financial resources
<b>Outcome 2:</b> Enhanced capacities of African research, technology	% annual increase in Public Agriculture Expenditure in Research and Development in	Annual Africa Development Report:	1. Countries willing to enhance public

dissemination and knowledge management organisations for building the resilience of rural livelihoods	semi-arid Africa	Towards a Food Secure Future	investment in agricultural Research and Development 2. African economies improve
<b>Output 2.1:</b> Agricultural research, innovation and transfer of technology functions of pertinent institutions in semi-arid zones of Africa facilitated.	1. No. of organizations participating in agricultural technology development and dissemination activities held	SAFGRAD Reports	Effective stakeholder participation
<b>Activity 2.1.1:</b> Create and facilitate operationalization of platforms focusing on streamlining agricultural research policies, strategies, and priorities.	1. No. of platforms created annually 2. No. of platforms operational in a given year	SAFGRAD Reports	1. Stakeholders participate 2. Availability of financial resources
<b>Activity 2.1.2:</b> Establish competitive grant schemes to catalyse scalable and niche adaptive research.	1. No. of competitive grants established	SAFGRAD Reports	1. Stakeholders participate 2. Availability of financial resources
<b>Activity 2.1.3:</b> Create systems for effective development, dissemination and adoption of research-generated technologies	1. No. of systems for effective development, dissemination and adoption of research-generated technologies created	SAFGRAD Reports	1. Stakeholders participate 2. Availability of financial resource
<b>Output 2.2:</b> Knowledge management, networking and communication functions of SAFGRAD effectively performed.	1. No. of organizations accessing SAFGRAD's knowledge resources	SAFGRAD Reports	1. Effective stakeholder participation
<b>Activity 2.2.1:</b> Develop a Communication Strategy to guide the ICKM thrust of SAFGRAD	1. A communication strategy developed in 2014	SAFGRAD Reports	1. Availability of financial resources
<b>Activity 2.2.2:</b> Document and	1. No. of success stories documented and	SAFGRAD Reports	1. Availability of financial

disseminate success stories and lessons learnt about SAFGRAD's thematic and policy dialogue support activities	disseminated		resources
<b>Activity 2.2.3:</b> Inform global deliberations on the impact of desertification and Climate Change on sustainable Agriculture and development through TPN6	1. No. of informal deliberations on the impact of desertification and Climate Change on sustainable Agriculture and development through TPN6 held	SAFGRAD Reports	1. Collaboration with UNCCD, UNEP, UNFCCC continues 2. Availability of financial resources
<b>Activity 2.2.4:</b> Provide organizational and technical leadership to thematic networks under CAADP KIS support system	1. No. meetings held	SAFGRAD Reports	1. CAADP KIS support system willing to collaborate
<b>Activity 2.2.5:</b> Establish and operationalize effective knowledge management (KM) collaborations with strategic partners	1. No. of effective KM collaborations with strategic partners established and operationalized	SAFGRAD Reports	1. Collaborators will to share knowledge management resources 2. Availability of financial resources
<b>Activity 2.2.6:</b> Establish and operationalize formal partnership arrangements with key stakeholders	2. No. of MoUs concluded	Signed MoU documents	3. Willingness of partners to enter into formal agreement with AU/SAFGRAD.
<b>Activity 2.2.7</b> Data base and mapping SAZs of Africa	The effective database of SAZ has been created in No. of African countries	Database	Availability of financial resources



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