



CAADP

Accelerating CAADP Country Implementation A Guide for Implementors



NEPAD

A PROGRAMME OF THE AFRICAN UNION



**policies,
capacities,
programmes for
6% agricultural
growth**

**Development of
Investment Programmes,
Partnerships & Alliances**

**Evidence
Based Analysis**

**Adapting &
Re-planning**

**PRESENT
Policies,
Capacities,
Investment
Programmes
(PRSP, SWAPs,
National
Development
Plans)**

**IMPROVED
Policies,
Capacities,
Investment
Programmes
(PRSP, SWAPs,
National
Development
Plans)**

**Assessment & Learning
from Process & Practice**

Next Cycle...

**Engagement with
Stakeholders & Public**

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Abbreviations and Acronyms

ACFS	American Center for Food Security
ARNS	African Regional Nutrition Strategy
APRM	African Peer Review Mechanism
ATYS	African Ten Year Strategy
AU	African Union
AUC	African Union Commission
AU-IBAR	AU Interafrican Bureau for Animal Resources
CA	Conservation Agriculture
CAADP	Comprehensive Africa Agriculture Development Programme
CAADP PP	CAADP Partnership Platform
CDSF	Capacity Development Strategic Framework (NEPAD)
CGIAR	Consultative Group on International Agricultural Research
CILSS	Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel
CMAWCA	Conference of Ministers of Agriculture of West and Central Africa
COMESA	Common Market for Eastern and Southern Africa
CSO	Civil society organisation
DONATA	Dissemination of New Agricultural Technologies in Africa
DP	Development Partners
FAAP	Framework for African Agricultural Productivity (CAADP Pillar 4)
FAFS	Framework for African Food Security (CAADP Pillar 3)
FAO	Food and Agriculture Organization
FARA	Forum for Agricultural Research in Africa
FIMA	Framework for the Improvement of Rural Infrastructure and Trade-related Capacities for Market Access (CAADP Pillar 2)
GDPRD	Global Donor Platform for Rural Development
IFPRI	International Food Policy Research Institute
M&E	Monitoring and evaluation
MDG	Millennium Development Goal
MDTF	Multi-Donor Trust Fund
NAP	National Action Programme (of the UNCCD)
NEPAD	New Partnership for Africa's Development
NGO	Non-governmental organisation
PANI	Pan African Nutrition Initiative
PER	Public expenditure review
PPP	Public–private partnership
PRSP	Poverty Reduction Strategy Paper
RAILS	Regional Agricultural Information and Learning Systems
REC	Regional Economic Community
ReSAKSS	Regional Strategic Analysis and Knowledge Support System
ReSAKSS-ECA	ReSAKSS Eastern and Central Africa
RT	Roundtable
SAFGRAD	Specialized Office for Promotion of Agricultural Research and Development in the Semi-arid Zones of Africa
SAKSS	Strategic Analysis and Knowledge Support System
SRO	Sub-regional agriculture research organisation
SWAP	Sector-wide approach
ToR	Terms of reference

Preface

Who and what is this guide for? How will it help me?

By Prof. Richard Mkandawire

The overall purpose of this guide is to strengthen the quality of CAADP implementation at the country level. This guide is designed for all those – newcomers and veterans – involved in supporting and managing the CAADP process. We envisage the primary users of the guide to be the core CAADP implementation support institutions, namely the African Union Commission (AUC), NEPAD, RECs and the Pillar Lead Institutions. These institutions are charged with special responsibilities for supporting countries and other institutions involved in various aspects of the agriculture sector agenda to embrace and adapt the CAADP framework in their work. An important secondary audience for the guide consists of all those directly involved in the implementation process, including CAADP country teams, political decision-makers, farmers' groups, entrepreneurs, other actors or stakeholder groups in the public and/or private sector, research and capacity strengthening institutions, and other service providers. Other readers might be interested in this guide simply to understand the 'nuts and bolts' of the CAADP process.

You may be wondering what CAADP is, why it's important, how to put it into practice, who should be involved and in what way/s. You may be wondering what others have done to implement CAADP, and what worked or didn't work for them. This guide aims to answer your questions in a clear and practical way. The guide is divided into three broad sections. Part I provides general background on the vision and objectives of NEPAD and CAADP. Part II focuses on the components and steps of the CAADP implementation process. Part III comprises a number of appendices that flesh out various ideas in greater detail. Throughout the guide we will mention other publications and resources you can consult for additional information. The appendices to this guide refer to background documents and frequently asked questions on the CAADP and NEPAD websites.

The guide contains suggested tools or steps to enable all actors in national agricultural value chains to engage effectively in agriculture planning and implementation. It explains CAADP's objectives and intended outcomes, defines organisational roles, and addresses various other considerations that need to be managed in the implementation process. On the CAADP website, additional guides (e.g. for the CAADP pillars), as well as detailed manuals for particular methodologies or tools (e.g. how to carry out a public expenditure review etc.) will be available. The guide is intended above all as a source of practical ideas that can be used in the field to get and keep the CAADP process moving.

By the nature of the CAADP framework, this guide cannot be a do-it-yourself manual. Instead, it is intended to provide key basic principles and benchmarks, mainly through checklists that people and institutions involved in the CAADP implementation process can use to develop work programmes tailored to local circumstances and needs. The vision is that, this time, Africa should be able to effectively and efficiently

harness both its own resources and international development support to have a real impact on agricultural productivity. This in turn should translate into a real and sustainable impact on the food security and poverty alleviation agenda, while at the same time serving as a foundation and driver for agriculturally based industrialisation, wealth creation and socio-economic development.

Consistent with CAADP's emphasis on learning and continual improvement, the present guidelines have evolved out of a learning process related to implementing CAADP since its inception in 2003. NEPAD has been in frequent interaction with the pioneering CAADP country teams and other implementation partners across Africa to compile lessons related to successes and innovations, challenges and setbacks, and issues that require more attention or clarification. The guide has been developed on the basis of experiences with CAADP and agriculture development initiatives in the last 3–5 years and numerous related documents (see the CAADP website for further background materials and references).

This document aims to synthesise the best practices emerging from three years of implementation efforts, and to answer the most frequent questions that arise in practice. The process undertaken to develop this guide was inclusive, involving small groups of leading practitioners working on specific topics and wider consultations through workshops and contacts with people and institutions active in CAADP implementation. You will find excerpts from these CAADP workshops and anecdotes from practitioners throughout this document. We include those voices because we want this guide to be a sort of conversation among peers, not an instruction book written by distant, uninvolved 'experts'. This guide should be considered a living document, which will evolve in order to remain effective in stimulating and generating desired outcomes. As CAADP implementation accelerates throughout Africa, no doubt we will all continue to learn new lessons.

The guide represents the best thinking from CAADP practitioners as of early 2009 – but CAADP is dynamic and will evolve and transform within the context of continual learning to respond to changing circumstances, needs and aspirations. In the spirit of learning, we invite you to give us feedback on this guide. How has it helped you? What additional topics need to be covered? What has been your experience implementing CAADP, that others might learn from? You can post your ideas or read the experiences of colleagues on the CAADP implementation site within the CAADP website <http://www.nepad-caadp.net>, post your comments on the CAADP blog page www.caadp.net/blog/index.php or write to us at info@nepad.org. We hope you find this guide useful, and we look forward to hearing from you.

Acknowledgements

This guide has been prepared through a process of in-depth thinking and consultation. This process started with the Comprehensive Africa Agriculture Development Programme (CAADP) implementation and inter-pillar meetings (February 2008 with more than 100 people), then continued with a smaller expert group and a review and analysis exercise running through most of 2008 with lots of individual consultations. It was finally consolidated in an expert reference group workshop in September 2008. The process, led by the New Partnership for Africa's Development (NEPAD), involved in total more than 200 individuals and a number of institutions and experts that have continually interacted to develop this guide.

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To comment on this document, or share your experiences on CAADP implementation please visit www.nepad-caadp.net, post your comments on the CAADP blog page, www.caadp.net/blog/index.php, or write to us at info@nepad.org.

A MESSAGE TO THE READER:

Congratulations. Good Luck. Welcome.

Congratulations! If you're reading this, we assume that you're interested in understanding more about NEPAD's Comprehensive Africa Agricultural Development Programme (CAADP). More likely, you're about to become or are already involved in CAADP implementation, and are looking for ideas on how to make it work. We thank you for all the contributions you have already made to agricultural development in your country or region, since we know that all those who come to the CAADP process already bring great knowledge and experience to the table. We congratulate you for your spirit of collaboration and commitment to improving the lives of farmers, villagers, consumers, entrepreneurs, and all others whose lives are touched by agricultural production in your country and in Africa. Collaboration, commitment and responsibility, knowledge and wisdom are all ingredients that are essential to CAADP's success. Africa's future depends on you and others putting those ingredients to good use.

Good luck, because as you will realise (or have already), the CAADP process is unique, complex and ambitious. Its commitment to fundamental reforms in institutional and policy undertakings, strengthening of local capacities, and stimulating an ever stronger sense of ownership and commitment all represent challenging features of the NEPAD, and specifically CAADP, vision and agenda. The CAADP core principles and values are actually quite simple and probably very familiar to most of us. Starting with the widely endorsed 6% annual growth target in agricultural productivity, CAADP advocates a programmatic, integrated and comprehensive approach; partnerships and coalitions built around shared visions and collective responsibility; knowledge sharing and peer learning; and evidence-based planning and reviews with clear links to options for the best returns on investments and desired impact. The challenge has been, and still is, putting these principles to work. Fortunately, you don't have to rely only on your own skills and talents – the CAADP framework offers you feasible and promising ways to do this within your local circumstances. The ideas and experiences of many others who have already 'walked this road' are collected in this document, so that you can learn from them and build your own successes.

So, **welcome** to the Africa-wide community of CAADP practitioners and learners! Since CAADP was born in 2003, hundreds if not thousands of people have already been involved in thinking about its core principles and putting them to work. The CAADP community is all of us: public sector players including regional and continental institutions in the African Union and the Regional Economic Communities; private sector and civil society organisations including local entrepreneurs; and knowledge centres/universities and research organisations. CAADP is also about our development partners and international organisations involved and working with Africa on agriculture and agriculture-related agendas. These are not categories of stakeholders, but people like you who want to make a difference – who want to end hunger and poverty in Africa, and use Africa's bountiful resources wisely to make agriculture the heart of vibrant economic growth in the continent. We welcome you to this community and hope you join us in this vision.



A girl smiles while eating food donated by the WFP in Eva Orango in Orango Island of Bijago Archipelago in Guinea-Bissau, February 2008. According to CAADP Pillar 3, intelligence levels rise when children are well fed. (c) Manoocher Deghati/IRIN

PART I: CHAMPIONING AFRICA'S GROWTH AGENDA: A BRIEF INTRODUCTION TO NEPAD AND CAADP

1 INTRODUCTION: NEPAD and CAADP: Taking Africa's development to the next level

Africa can only take its place as a formidable player and partner on the global scene if it has a vibrant agricultural sector as a solid foundation upon which to build. Agriculture remains the economic base for the majority of the poor in Africa and constitutes a key economic sector in most African countries. Africa is unique in the extent of its population's dependence on agriculture, which takes the form of millions of subsistence to small-scale farm units. At the same time, agriculture's critical role in addressing food security and poverty alleviation and as the basis for viable and sustainable industrial and socio-economic growth cannot be overemphasised. Therefore, advances for agricultural development have to embrace in an integrated form commercialisation and market-led growth, and the pursuit of increased productivity and overall growth targets, as well as pro-poor agricultural development strategies able to deal with the special needs of rural populations depending on some form of farming.

Myriad global forces are converging such that it is time for Africa to strengthen and develop its agriculture sector. Among the forces are high food and energy prices, climate change, and global market failures etc. However, real and sustainable growth in the agricultural sector has eluded the continent. Therefore, when the then-OAU Heads of State and government endorsed the New Partnership for Africa's Development (NEPAD) in 2001, they made clear the critical role agriculture needed to play in pursuing real and sustainable development (Box 1). The NEPAD vision and agenda aims to promote African-led accelerated growth and sustainable development, eradication of poverty and food insecurity. These goals are to be pursued along a number of development issues and sectors. The specific agenda for agricultural development was endorsed by Heads of State and government, as the Comprehensive Africa Agriculture Development Programme (CAADP) in the AU Maputo Declaration, June 2003, Maputo, Mozambique.



(c) AusAID

CAADP responds to Africa's critical need for positive, sustainable growth in the agricultural sector. It represents Africa's framework for bringing about the required institutional and policy reforms and greater levels of investment that will drive the agricultural sectors towards their productivity growth targets.

Although CAADP is continental in scope, it is an integral part of national efforts to realise accelerated agricultural sector growth and related socio-economic development. CAADP is a common **framework**, reflected in a set of key principles and targets, to guide country strategies and investment programmes; stimulate and support policy dialogue and review, organisational and capacity development, (regional) peer learning, private sector engagement and agriculture-related entrepreneurship development and growth; and facilitate greater alignment and harmonisation of efforts of development partners, international and local institutions, knowledge centres and think-tank institutions.

1.1

The CAADP framework

Box 1. The roots of NEPAD and CAADP

The NEPAD vision:

The New Partnership for Africa's Development (NEPAD) is an initiative based on a pledge by African leaders recognising their pressing duty *to eradicate poverty and place their countries, both individually and collectively, on a path of sustainable growth and development while at the same time participating actively in the world economy and body politic.* NEPAD is anchored on the determination of Africans to extricate themselves and the continent from the malaise of underdevelopment and exclusion in a globalising world.

NEPAD arose from a mandate given by the OAU to the Heads of State of Algeria, Egypt, Nigeria, Senegal and South Africa to develop an integrated socio-economic development framework for Africa. The resulting framework was adopted by the OAU in July 2001.

Overall NEPAD objectives:

1. Establish conditions for sustainable development (peace and security; democracy and good political, economic and corporate governance; regional cooperation and integration; capacity-building)
2. Encourage policy reforms and increased investments in priority sectors (agriculture, human development, infrastructure, environment etc.)
3. Mobilise resources (increasing domestic savings and investments; management of public revenue and expenditure; Africa's share of global trade; foreign direct investment)

NEPAD principles:

- African collective ownership and leadership around a shared vision
- Good governance and accountability
- Anchoring the development of Africa on its resources and the resourcefulness of its people;
- Partnership between and amongst African peoples;
- Acceleration of regional and continental integration;
- Building the competitiveness of African countries and the continent;
- Forging a new international partnership between Africa and the rest of the world; and
- Decisive commitment to achieving the MDGs.

Agriculture-led development:

Recognising that agriculture is the mainstay of most African economies, NEPAD has taken the lead in highlighting the critical role agriculture must play in successful efforts to reduce food insecurity and poverty. The Comprehensive Africa Agriculture Development Programme (CAADP) is the NEPAD framework for development of the agriculture sector in Africa.

Given the diversity in African country contexts, in their levels of development and in their current agricultural sector challenges and strategies, CAADP cannot be a prescriptive, 'one-size-fits-all' approach that pretends to offer universal solutions. Nor is it a set of supranational programmes to be implemented by individual countries. In other words, in spite of the 'P' in CAADP, it is not exactly a 'programme' per se. Rather, as noted above, it is a pan-African framework – a set of principles and broadly defined strategies to help countries critically review their own situations and identify investment opportunities with optimal impact and returns. CAADP is a way to champion reform in the agricultural sector, enabling governments to address immediate welfare needs (food security and poverty alleviation) while at the same time generating growth and providing the basis for industrial revolution. CAADP provides for an evidence-based planning process with knowledge as a key primary input and human resource development and partnership as a central factor. Ultimately, it aims to align diverse stakeholder interests around the design of integrated programmes adapted at the local level.

Although continental in scope, CAADP only comes to life through integrated national and regional efforts to promote agricultural sector growth and economic development. As a framework, CAADP's value comes from helping countries to attain better and more sustainable results from the agricultural development strategies and programmes that have normally been formulated under PRSPs, SWAPs, etc. CAADP aims to add value to existing initiatives by helping countries to develop better investment programmes and to put in place appropriate implementation mechanisms and capacities.

Compared with other development initiatives in the continent in the last four to six decades, CAADP stands out in that it is not just about mobilising resources for the agricultural sector. Rather, CAADP is about **changing the way we do business** in the agricultural sector. It calls for a critical review and transformation of institutional arrangements, related policies, human capacities and competencies and indeed the principles and values that guide and motivate work relationships. The CAADP framework comprises a set of key principles and targets that have been defined and agreed collectively at all levels – including at the African Union Heads of State and government summit level – in order to: (i) guide country strategies and investment programmes, (ii) allow regional peer learning and review, and (iii) facilitate greater alignment and harmonisation of development efforts. Thus, the principles and values of CAADP (outlined in greater detail in Chapter 2) are fundamental to CAADP's value-added approach.

CAADP represents a new way of achieving impact by enabling increased and better aligned investment in agricultural research, development and capacity strengthening. It offers improved decision making and resource allocation based on coherent evidence-based planning utilising relevant and timely information and analysis. It will improve access to expertise at national, regional and continental levels by involving all stakeholders and by making better use of Africa's human and institutional capacities. CAADP's emphasis on multi-stakeholder dialogue and decision making is central to its success. National and regional ownership in agricultural development is achieved through structured stakeholder involvement around priority setting, matching resources to priority tasks, and collaboration at the implementation stage. One of the greater and unique

values of the CAADP framework is to stimulate, guide and facilitate analytical work for evidence-based planning. The other major value is to enhance system-immanent capacities and linking of knowledge centres (such as universities, research centres and think-tank institutions) directly and in an integrated way to public and private sector development processes, particularly for financing and implementing investment programmes in the agriculture sector.

The country implementation process aims to improve the quality and effectiveness of agricultural sector programmes by integrating the principles and values of CAADP into the national systems of development planning and implementation. CAADP does not intend to replace nor run in parallel to existing planning and development systems, but rather subjects these systems to rigorous analysis and reform. Investment programmes are designed, implemented, reviewed, adapted and re-planned in an ongoing way, thus building up performance step by step. And, while external knowledge, ideas and facilitative guidance are important to CAADP's success, the process is not an external expert-driven agricultural programme design process. Instead, implementing CAADP needs to be done as an integral part of a country's operating systems and responsibilities to continuously improve its own performance.

Country- and regional-level implementation of CAADP-based agricultural development strategies will be underpinned by expertise in institutional reform and change management and strengthened inter-institutional, inter-ministerial co-ordination and knowledge sharing and learning.

The CAADP framework will help harness political will at all levels to enact the policy and institutional changes required for genuine agriculture development. Rigorous analysis and collaborative planning among stakeholders in turn become the basis for advocacy efforts. Appeals to increase and better target and coordinate agricultural investments will be supported by evidence-based messages tailored to the priorities of different audiences. This strengthening capacity in resource mobilisation will be backed up with access to support from NEPAD, RECs, and pillar institutions in advocacy and resource mobilisation.

Internalising and applying the CAADP framework tools, principles and values to make operational new ventures in agriculture industrialisation and growth should result in new comprehensive and integrated partnerships around defined priority business and investment opportunities. These should be oriented to the best possible growth options and mainstreamed into existing national development activities with good prospects for achieving economies of national and/or regional scale and scope. The process should also result in transformed engagement with development partners in the context of a global economic architecture where Africa participates as an economic actor in its own right and where a shared vision exists of African countries networked into a coherent continental economy and market. It should enable Africa to enhance the wealth creation capacity of the continent, including its capacity to retain a larger and fairer share of global wealth generated from the exploitation of its human and natural resources, investment opportunities and markets. The CAADP process and outcome logic is depicted in Table 1.

CAADP country implementation is more than a mere 'process'. It yields concrete results, value and verifiable outcomes in institutional and policy reforms, human and organisational development, and partnerships. But it is also more than mere outcomes. Insofar as CAADP is about changing how we do business in agricultural strategy development and execution, process quality and efficiency are crucial factors for success and need to be carefully attended to during implementation.

The CAADP framework also recognises that enhancing the coherence and effectiveness of country agricultural sector development strategies is an iterative process that depends on the abilities of stakeholder groups to conduct analyses, plan programmes, and evaluate their effectiveness with an eye to improving their performance. CAADP therefore recognises the development and strengthening of local institutional and human capacity and competencies as integral and central to attaining and sustaining the desired development thrust.

Experience has demonstrated that without robust capacity – strong institutions, systems, and local expertise – Africa

Table 1. The CAADP process and outcome logic

Process inputs > > > > > > > >	Process outcomes > > > > > >	Impacts
<ul style="list-style-type: none"> ■ Present investment programmes (PRSPs, SWAPs etc.) ■ Facilitation, coaching and process management ■ Knowledge input/analytical services ■ Partnership and coalition building ■ Capacity development, including organisational development and change management 	<ul style="list-style-type: none"> ■ Improved agricultural sector development strategies and programmes ■ Increased investment in agriculture ■ Improved infrastructure and markets ■ Better policies for agricultural growth ■ More effective agricultural services ■ Improved regional integration ■ Changes in values and institutional practice 	<ul style="list-style-type: none"> ■ 6% annual growth in agricultural domestic product ■ Reduction of poverty and malnutrition ■ Improved sustainability of agricultural production and natural resource use

cannot fully own and manage its development processes and therefore, talk of local ownership remains just that – talk! Implementing the CAADP framework will institutionalise a process that supports ongoing transformation and strengthening of local (African) capacities to lead and manage development. The CAADP framework also aims to enhance government's capacity to implement its policies and manage public resources through its own institutions and systems.

1.2

The strategy for implementing CAADP as a framework

1.2.1 CAADP vision, mission and goals

NEPAD offers a compelling vision of what the agricultural sector should look like by 2015.¹ By that time the continent should have:

- improved the productivity of agriculture to attain an average annual production growth rate of 6%, with particular attention to small-scale farmers, especially women;
- dynamic agricultural markets within countries and between regions;
- integrated farmers into the market economy, with improved access to markets that enable Africa to become a net exporter of agricultural products based on its comparative and competitive advantage;
- achieved a more equitable distribution of wealth as a result of rising real incomes and relative wealth for rural populations through more equitable access to land, physical and financial resources, and the knowledge, information and technology for sustainable development;
- become a strategic player in agricultural science and technology development to meet the growing needs and demands of African agricultural development; and be practising environmentally sound production methods and have a culture of sustainable management of the natural resource base through increased knowledge, information and technology application.

CAADP translates the NEPAD vision into an operational framework to guide agriculture-led development. CAADP's overall goal is to improve livelihoods, food security, and environmental resilience in Africa's largely agrarian economies. Within this context, CAADP's specific objective is to support country-driven agricultural development strategies and programmes by:

- establishing clear commitment to deliver on specific targets, including investing 10% of national budgets in the agricultural sector and achieving a 6% growth in agricultural domestic product;
- promoting analyses of growth options and strategies by key stakeholders, leading to consensus around a national plan of action for agricultural development;
- enhancing systemic planning and implementation capacities, taking advantage of best practices and analyses of past successes and failures;

- ensuring mutual responsibility and accountability for programme results, through joint analysis and ownership of problems and peer review of progress and outcomes;
- strengthening implementation mechanisms, including institutional arrangements and policy alignment
- aligning government and development partners to agreed national agendas through African-led partnerships and development partner involvement, with resource mobilisation as part of the process;
- exploiting regional synergies through access to AU-NEPAD, RECs and pillar institutions for advocacy, technical backstopping and for capturing regional and continental overlap and opportunities for building critical mass; and
- putting a premium on knowledge and skills development, and making lessons learnt available to neighbouring countries and the continent as a whole.

Box 2. Another perspective on the CAADP fundamentals

"Beyond the ... principles and targets, there are a number of important features that characterize the CAADP agenda and process. None of these features are new to the development debate but CAADP provides the first comprehensive and credible effort to address them all in an integrated agenda under a collective framework.

The first of these features is the NEPAD-wide emphasis on African ownership and leadership, as well as the financial and political commitment by national governments, which, in conjunction with the principles of accountability and mutual review, collectively has raised the credibility of the agenda to an unprecedented level in the history of development dialogue, partnership, and practice in Africa.

The second is the AU/NEPAD declared option for an agriculture-led growth strategy to achieve the MDG goal of poverty reduction through the CAADP agenda, which, without doubt, has contributed to the increasing prominence of agriculture on the development agenda.

The third feature is the implicit, basic philosophy underlying the entire AU/NEPAD effort, and hence the CAADP agenda, which is reflected in the conviction that Africa can do better and the desire to do business differently, more efficiently and with greater and more tangible results.

The fourth is the fact that the CAADP agenda and process seek to promote consistency and continuity in regional and national development efforts, facilitated by a specific and limited set of shared long term growth and investment targets, as well as the transition to evidence and outcome based planning and implementation. The latter is being supported by dialogue and peer review tools and processes to

¹ See main CAADP document (July 2003) and subsequent elaboration in AU and NEPAD documentation.

Box 2. continued...

stimulate and broaden the practice of benchmarking, mutual learning and the adoption of best practices.

Finally, the CAADP process promotes partnerships and alliances to facilitate the alignment of development efforts by national governments and development partners in order to improve future development outcomes."

Source: Progress Report on Implementing the Comprehensive Africa Agriculture Development Programme (CAADP), Agricultural Growth, Poverty Reduction and Food Security in Africa. 4th Conference of African Union Ministers of Agriculture Member States Experts' Meeting, 26-27 February 2008, Addis Ababa, Ethiopia, Article 2 Sections 6 and 7

1.2.2 The core functions and key strategies to put CAADP into practice

Making CAADP operational is more than just the country process. As noted in Chapter 1, CAADP is not a rigid set of steps to follow, but rather a set of principles and an approach to planning and programme design for reform of the agricultural sector. A set of five core strategic functions describe the overall scope and strategy of CAADP (see Figure 1 below):

1. **Country process for better investment programmes:** the country process is the core of the whole CAADP intervention as it 'grounds' the CAADP values and principles in the countries' own processes and systems. This Guide focuses on the details of this process.
2. **Mobilising partnerships for investment:** this core strategic function operates at different levels from national to global and CAADP has been successful in mobilising resources and new partnerships. Ultimately, these resources are financing national and regional programmes, but most of the mobilisation is done at international level. However, the mobilisation of local/national resources from private and public sector is equally important.
3. **Pushing for commitments:** CAADP has a number of instruments, for use at different levels, to hold governments and partners accountable for their promises. The monitoring of the 10% budget commitment and peer reviews between countries are just two major elements to be mentioned here.
4. **Advocacy for agriculture:** CAADP has a major thrust on 'putting agriculture back on the agenda' and uses advocacy, lobbying and communication as major instruments. CAADP has been very successful in this core function in the past few years. This has led to a situation where agriculture in Africa is again seen as a major development driver.
5. **Strategic thinking, positions and scenarios for the future:** CAADP needs to be a step ahead and needs to provide clear African positions on agricultural development issues. This core strategic function is very important in dealing with issues and future trends affecting agriculture in Africa in a proactive way.

The five core strategic functions are integrally linked and cannot be seen as isolated strategies. It requires an

integrated approach, which uses the optimal level and scale to produce the desired results.

Figure 1. Core strategic functions of CAADP



Building on the core strategic functions, a set of strategies for CAADP implementation describe the intervention thrusts in more detail. These strategies are:

1. **Institutionalising the analysis of growth options and strategies by key players will lead to a continuous improvement of policies, institutions and organisational capacities to deliver.** This will be achieved by implementing systems of evidence-based planning and policy-making, and analytical support systems that allow for strategic and scenario-based planning that builds on learning from the successes and failures of the past.
2. **Creating commitment to deliver on broadly agreed common targets for impacts and performance across levels, rather than targets for inputs and spending.** This will be achieved through top-down advocacy and analysis of previous investments, and common target setting, performance assessment and review across all levels.
3. **Fostering change in values to create mutual responsibility and accountability across sectors and actors, for results that strengthen the agricultural system as a whole.** This implies agreement on a common vision and agreed targets, then holding one another accountable for performance and for learning and continuous improvement. This will be achieved through joint analysis and ownership of problems across sectors, an

institutionalised peer review system and the nurturing of commitments from the Heads of State level down through advocacy at all levels.

4. **Achieving the alignment of development efforts and strategies towards achieving results and targets within national systems, at the inter-ministerial level and through the support strategies of development partners.** This will be achieved through jointly agreed agendas and priorities, joint responsibility for the agreed results, and mutual engagement and commitment in the development process from public, private and CSO sectors and development partners moving together in a constructive and accountable manner.
5. **Leveraging synergies through regional integration and collaboration to reach economies of scale around use of common resources, systems and infrastructure.** This will be achieved through continuous exploration of mutual regional benefits and synergies from country and regional levels, and pursuing them through joint investment initiatives and programmes. This will strengthen the internalisation of regional values in the way countries and regions do their business, and support more viable exploitation of regional opportunities.

1.2.3 The core values and principles of CAADP

Implicit in the above strategies are several NEPAD-CAADP core principles and values, specifically that:

- **Partnerships and alliances** are fundamental to the CAADP agenda – both as a core component and in acknowledging that agriculture is a cross-cutting sector. These relationships must go beyond conventional inter-sector linkages to include comprehensive interventions with clear collaborative work arrangements, such as inter-ministerial cooperation and public–private partnerships among others. Partnerships and alliances will (i) facilitate alignment and harmonisation of development efforts between national governments and development partners, (ii) raise participation in the policy making process by farmer organisations and other stakeholders, including the private sector and (iii) enable and ease access to greater technical expertise (knowledge and skills).
- **Dialogue, (peer) review and mutual accountability** at the national level open the door to collective responsibility and inclusive participation down to local (grassroots) structures. These principles are expected to stimulate and broaden the practice of benchmarking, mutual learning and harmonisation of national development efforts, while encouraging a greater level of trans-boundary cooperation and regional integration.
- **Exploitation of regional complementarities and cooperation** addresses common and mutual needs and regional comparative advantages.

All these principles underpin a fundamental transformation in the way of doing business, ultimately affecting:

- the quality of development/investment programmes with regard to efficiency, effectiveness and relevance, including ensuring optimal returns on investments;
- the quality of implementation and delivery mechanisms and related institutional arrangements and policies;

- better organised sub-sector linkages, for commodities such as livestock, fisheries and crops, including more and better partnerships and coalitions; and
- quality regional interactions, including enhanced country-led regional collaboration on the economic front.

To make any difference, radical changes in the systems, approaches and mechanisms by which development initiatives have been pursued will be required for NEPAD and specifically the CAADP agenda. Africa has learned the lesson that delivery mechanisms, alongside policy and institutional arrangements and capacities, remain critical factors hindering sustainable development. Embracing and adhering to CAADP principles in national and regional programmes will raise the credibility and transparency of development planning and implementation processes, thereby encouraging increased and longer-term investments and mutual commitment by all players.

1.3

Making a difference: expected impact of CAADP implementation

The litmus test for CAADP's success will be how strongly it influences the formulation and implementation of development and agricultural investment plans. In particular, the CAADP framework should directly affect the quality of investment programmes. This should be measured in terms of the extent to which investment programmes:

- address real issues that are likely to bring the most impact, i.e. stimulating and facilitating widespread adaptation and adoption of proven best practices to achieve targeted levels in agricultural productivity;
- represent the best economic rationale, including considerations of regional integration, thus promising high returns on investment;
- represent optimal exploitation of the continent's natural and human resources, including intellectual capabilities; and
- offer the best inter-sector, inter-disciplinary and multi-partner combinations within implementation arrangements that underpin the most comprehensive and integrated approaches.

The quality of CAADP investment programmes will depend on the extent and quality of consultations involved in their development. Real partnerships and inclusive dialogue and consultations, key features and principles of the CAADP framework, are essential for the formulation and implementation of agriculture investment programmes developed within the CAADP framework. Therefore, an important aspect of CAADP's value-added approach in terms of strengthening investment programmes will come from fundamental institutional and policy changes in implementation mechanisms, including in the linkages and

collaboration among the core players and institutions. Table 2 summarises the changes CAADP aims for at national, regional and continental levels. These changes are deemed essential to bring about sustainable agricultural and socio-economic development growth for the continent.

This chapter has discussed CAADP in general terms, and in terms of its quite successful implementation at the continental level. In five short years, CAADP has become the reference

framework for talking about agricultural development planning throughout the continent, and for negotiating strategies with Africa's development partners. This is a major accomplishment of which we can all be proud. However, for the expected results to be fully realised, CAADP also must become embedded in planning and delivery mechanisms for agricultural development at the country level. Chapter 2 of this guide orients the reader on how to accomplish this significant task.

Table 2. Changes expected at different levels as a result of adapting the CAADP agenda

Level	Expected/desired change
Country level	<ul style="list-style-type: none"> ■ Inter-ministerial collaboration, especially between agriculture, finance, environment and the natural resources ministries. ■ Increased direct participation of in-country partners (CSO, NGO, private sector, faith institutions etc.) in the development and implementation of agriculture and rural development investment programmes. ■ Partnership between farmers and private sector organisations. ■ More harmonised and coherent and coordinated interaction and collaboration between government and development partners. ■ A sustained increase in governments' expenditure support to agriculture. ■ Strengthened capacities and competencies in local institutions including governments to identify, formulate and implement quality investment programmes. ■ The design and implementation of quality agriculture investment programmes including regional programmes. ■ Increased agricultural growth.
Regional level	<ul style="list-style-type: none"> ■ RECs taking more and better leadership in stimulating, coordinating and facilitating support (financial, expert/technical, information etc.) for country CAADP implementation processes. ■ Regions better prepared to engage in global issues that affect or are affected by agriculture.
Continental level	<ul style="list-style-type: none"> ■ Strengthened resource mobilisation and lobbying in support for CAADP. ■ Brokering and mitigation in political issues around agriculture and consensus building. ■ A mutually interactive regional and continental information and knowledge system. ■ A peer review framework based on an effective M&E system. ■ Increased evidence at all levels on the impact and value of the CAADP agenda. ■ An Africa more and better prepared to engage in global issues that affect or are affected by agriculture.



Box 3. Benefits emerging from the CAADP roundtable processes

- "One of the key elements is partnership. It is bringing different stakeholders to ensure that there is focus on the agriculture agenda [and] we are building partnerships that we have never seen before around [this] agenda. There is also a key issue of identifying concrete early actions that are beginning to have an impact on the livelihood of the people. We have seen in some of the countries where the process has advanced. We have seen NGOs volunteering putting their own money."
- "When you go to countries where the roundtable is implemented, you can see a lot of impact in terms of influencing policy. In Rwanda, because of the compact, the government has doubled their support in agriculture; that is because of the impact of the roundtable. In Uganda, the process is changing policy in agriculture development, and the Minister of Finance and other stakeholders are saying let us have this thing quickly."
- "The roundtable is the consensus building forum at which the country strategy is agreed upon by all by all stakeholders. Even the EU in October agreed that this process is the most comprehensive and very unique on the continent. Unless you can keep yourself out of the process, everyone would have been in the consultation. Now Rwanda has highlighted the launch of Research into Use as the baby of the roundtable process."
- "This is based on analysis and it has a strong input in changing the policy makers. So do not underestimate it."
- In Madagascar the minister said "this is God given , I wish you had come earlier"

Comments by participants at the February 2008 'Roundtable Process Learning Workshop', Pretoria, South Africa



A fisherman prepares to go out fishing on the Zambezi River. Farming and fishing communities along the banks of the Zambezi River have in recent times had to move their families inland due to floods. (c) David Gough/IRIN

Chapter 2 walks the reader through the four core components of CAADP implementation at the country level. Underlining the multi-partner and stakeholder responsibilities in CAADP implementation, Chapter 3 outlines the key roles and responsibilities of, in particular, the core institutions charged with stimulating, facilitating and supporting CAADP implementation. These include national governments, the African Union Commission, the NEPAD Secretariat, the Regional Economic Communities (RECs), and the Pillar Lead Institutions. The chapter also outlines some of the key institutions and networks related directly to CAADP implementation, the main one being the CAADP Partnership Platform (CAADP PP). And it refers to the pillar framework documents, a key aspect of the CAADP process which has been developed under the leadership of the Pillar Lead Institutions.

Chapter 4 elaborates on some of the critical features of the CAADP process, including the country compact, the country CAADP team, CAADP implementation and the M&E and peer review. The chapter also summarises some of the most outstanding lessons from the last several years of CAADP implementation.

PART II: THE CAADP COUNTRY IMPLEMENTATION PROCESS (THE ROUNDTABLE PROCESS)

2

How is CAADP enacted at the country level? The country implementation (‘roundtable’) process

The backbone of CAADP is the country implementation process (previously called the ‘CAADP roundtable’), which is an iterative learning process comprising analysis, design, implementation and evaluation of agricultural investment programmes. The country implementation process aims to improve the quality and effectiveness of agricultural sector programmes by integrating the principles and values of CAADP into national systems of development planning and implementation.

Country implementation of the roundtable process started in 2006 with a set of clearly defined steps. The process design used modelling to bring out drivers of growth as core activities. It ended with a so-called ‘compact’, an agreement between major stakeholders and the ministry of agriculture, the ministry of finance and donors on the priorities and strategy for a country’s agricultural development programme. The process had intrinsic problems. But lots of lessons were learnt and the weaknesses have been critically analysed since early 2008 (see Appendix 5). The implication of this analysis and the lessons learnt has been a number of major shifts which have been integrated and operationalised through this guide. The shifts are briefly outlined in Table 3.

As emphasised in Chapter 1, CAADP implementation is more about realising the principles and values of NEPAD-CAADP (resulting in more result oriented and quality implementation arrangements and investment programmes) than following a step-by-step recipe. Ultimately flexible, the CAADP framework does not even dictate exactly where or how to start. Rather, it recommends that each country identify what initiatives are already underway (in whatever form) and determine as a starting point how implementing CAADP would strengthen, reform, adapt or indeed bring about necessary change. Thus, adapting and implementing the CAADP agenda requires careful attention to in-country circumstances and capacities.

Having said this, some common pathways, milestones and benchmarks of the CAADP process can be identified. As a



A crop production officer from the Ministry of Agriculture examines stunted maize at a farm in the Njoro district in the Rift Valley Province. The district has experienced over 90% of maize crop failure following poor and erratic long rains between March and June 2009. (c) Jane Some/IRIN

result of experimentation with CAADP country implementation in a dozen or so ‘pioneer’ countries in Africa, four principal interlinked components have been identified as central to the process. In the actual process of CAADP country implementation, these steps or components need to be tailored by each country to fit the context of local needs and aspirations, and translated into an appropriate action plan with a realistic implementation rate. The four main components are (see Figure 2):

Component 1: Engagement with stakeholders and public-common understanding of opportunities for agricultural growth

This component focuses on the critical ‘entry points’ for stimulating and facilitating informed buy-in, awareness and agreement on CAADP’s value addition to country development and agriculture programmes such as the PRSPs and national agriculture development strategies. It also aims to initiate and strengthen inter-sector partnerships around a common vision with clear mutual and shared responsibilities among public, private and the civil society institutions.

Other elements under this component include public awareness and education on CAADP and agriculture, fostering the commitment and political will needed to achieve the CAADP vision, and mainstreaming functions and responsibilities to drive CAADP implementation in both government and other organisations. It is important to appreciate that this component is not about mere administrative engagement and decisions; it can be a protracted engagement to negotiate on common

Table 3. Major shifts in CAADP country implementation as from 2009

From (previous roundtable process design)	To (country process design as adapted in this guide)
One administratively appointed focal point person to drive CAADP within each country	<ul style="list-style-type: none"> ■ A country implementation team to manage the process strategically and professionally ■ Facilitation of dialogue and consultations for informed decision making on government and stakeholder buy-in ■ Internalised CAADP functions including aligning relevant decision making bodies
Facilitation through RECs	<ul style="list-style-type: none"> ■ Facilitation, support and capacity development of the country teams through a CAADP Resource Group and, within that, country support teams composed of RECs, AU, NEPAD, pillar institutions taking joint responsibility with clear performance criteria. The CAADP Resource Group acts as a fast learning group where lessons and experiences can be rapidly shared and performance enhanced
The compact agreement as a major focus of the CAADP process	<ul style="list-style-type: none"> ■ Focusing on the impact and outcomes of the process, negotiated with countries and leading to improved performance and capacities to reach the 6% growth target
The primary implementation focus on government	<ul style="list-style-type: none"> ■ Government leadership but including ownership and responsibilities across a wider network of players such as parliamentarians, civil society and other actors. A focus on collective responsibility for implementation and delivery from all major stakeholders. Capacity and institutional arrangements and implementation modalities are part of planning
'Instruction' to implement CAADP from the higher level with resistance from middle levels	<ul style="list-style-type: none"> ■ Exploring CAADP's value addition with countries and using a flexible implementation design accordingly, building on the buy-in of technocrats and their institutions
A mechanical and rather static 'roundtable' process	<ul style="list-style-type: none"> ■ Flexible mainstreaming and alignment of CAADP into national development strategies (reviewing the value of CAADP against existing strategies and plans/programmes) ■ Focusing on organisational development and the quality of a strategic process for design and management, as well as building competence and engaging in continuous learning
Use of 'isolated consultants' for an initial stocktaking exercise	<ul style="list-style-type: none"> ■ Use of the existing knowledge system and institutions to build fundamental relationships, arrangements and capacities which link planning to knowledge, information and networks ('Building functioning systems') ■ Expanded stocktaking, diagnosis and an analysis base linked to an on-going analysis of and support for information needs. A focus on building and nurturing local/systemic capacity for analysis and knowledge generation
Analytical work in the roundtable process heavily based on econometric modelling	<ul style="list-style-type: none"> ■ Analytical work based on a wide angle of perspectives: policy, institutions/capacity, finance/economics, ecosystems, technology
Isolated donor support for country implementation	<ul style="list-style-type: none"> ■ Workplan-based funding from the Multi Donor Trust Fund, building on donor alignment in individual countries

understanding and responsibility in concerned institutions. This component also ensures the subsequent plan on CAADP implementation is a response to real country needs and issues and is clear in its value addition.

Component 2: Evidence-based analysis – deepening understanding around common priorities

This component entails stocktaking and analysis – assessing the status quo and future opportunities based on hard data and the negotiation of concerns and priorities among stakeholder groups. Through various 'tools' the main thrust here is a broad-based understanding of the situation in a comprehensive and integrated form – i.e. technical, ecosystems, social and culture, resources and capacities. Even more so, it relates to understanding how all these forms relate and interact to one another and why they have succeeded or failed previously.

Component 3: Development of investment programmes, partnerships and alliances

This component relates to cultivating and negotiating partnerships to attract and leverage investments into the agriculture sector. This is more than just attracting new funds; it is also about relationships and commitments aimed at defining and strengthening capacities and systems including policy frameworks for quality investments, best returns on investment, accountability, etc. and aid effectiveness in the case of donor funds. This component attempts to engage investors in developing and committing to a financial plan on specific priorities and drivers coming out of the CAADP roundtable process.

Component 4: Assessment & learning from process and practice – and adapting and re-planning

This component covers:

- designing strategy and investment programmes around the identified priority/growth areas;
- determining the best possible implementation arrangements and mechanisms; and
- identifying modalities for follow-up monitoring and evaluation to assess performance while at the same time supporting learning and adaptation as well as peer review.

The four components and their relationship to the CAADP process are depicted in Figure 2, the CAADP Country Process Cycle.

These components and the overall process are meant to stimulate the development of implementation capacity by all participating stakeholders. The process is based on the principle of inclusive dialogue, and may require capacity building to strengthen certain skills among all stakeholders or the voices of particular groups. The process will not necessarily unfold in a linear chronological sequence, but rather the various elements are likely to interact within and across the components in an iterative way.

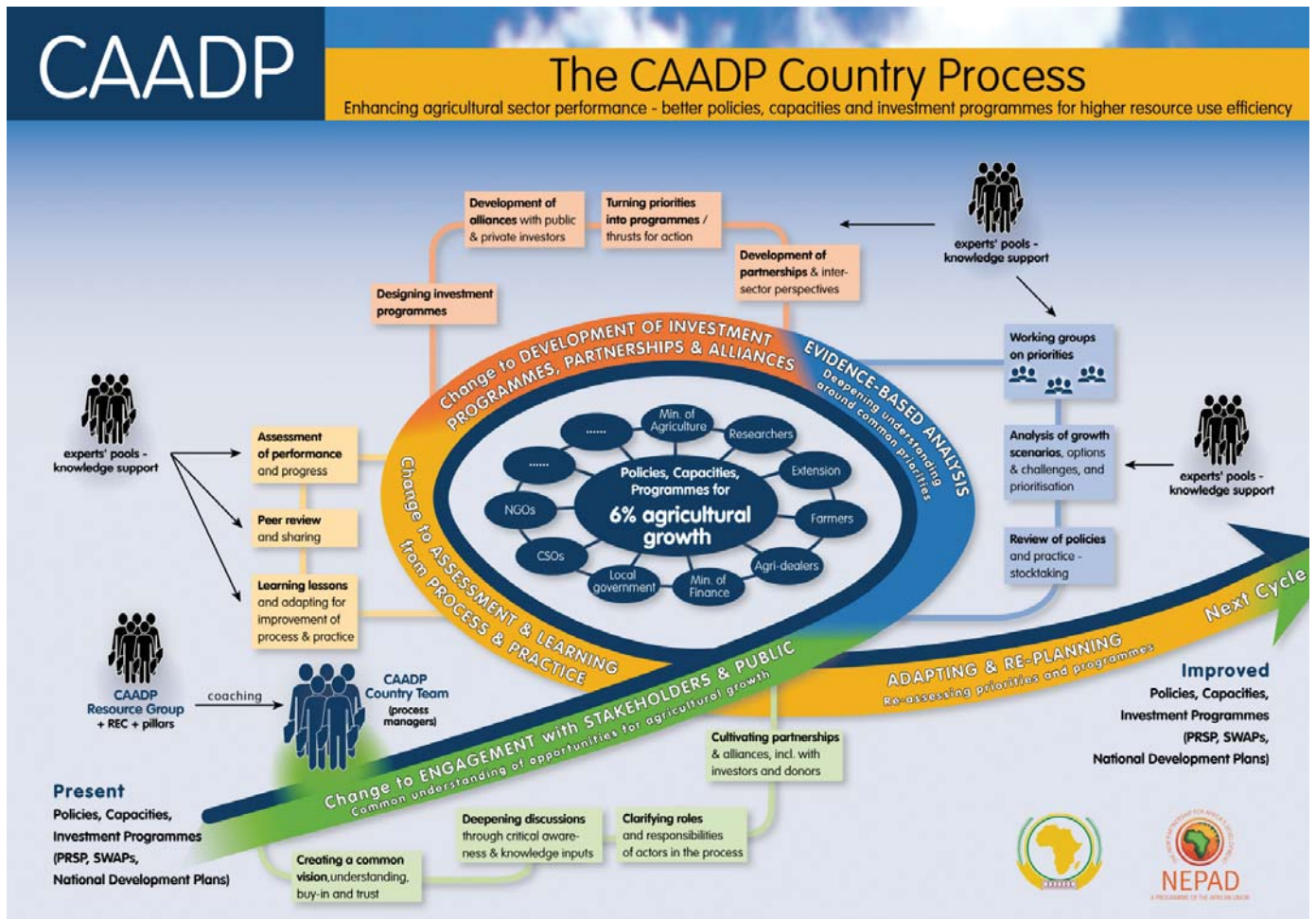
Sections 2.1 to 2.4 describe each of the four components of the country implementation process. Each section includes a table with key milestones and benchmarks and possible action points, which serves as a checklist for planning and facilitating the country CAADP roundtable process. The benchmarks are designed to clearly mark progress, but even more importantly to ensure that quality and value are being realised in the process. The benchmarks in this form also provide:

- a framework for the country CAADP team to develop a work programme for managing the country roundtable process;
- a basis for negotiating and agreeing on specific and common/joint responsibilities (managing inclusiveness becomes easier as all stakeholders and players understand and can follow the process); and
- a basis for common and transparent monitoring of the process.



(c) NEPAD-CAADP

Figure 2. Components of the CAADP roundtable process



2.1

Component 1: Engagement with stakeholders and public – common understanding of opportunities for agricultural growth

The country engagement strategy aims to build widespread and sustainable ownership, commitment and support for implementing CAADP. The main objectives of the initial engagement process are to:

1. promote a preliminary engagement between government and stakeholders to build a common understanding and vision of the agriculture agenda;
2. stimulate dialogue and negotiation for a common understanding and collective responsibility in pursuing the CAADP agenda;
3. permit the country to internalise ownership and its commitment to the NEPAD-CAADP agenda and reflect on the implications for agricultural development;

4. determine specific value addition of the CAADP agenda within the context of the country PRSP and national agriculture strategies and programmes;
5. obtain formal and public government commitment on implementation of the CAADP agenda and ensure political support from the highest levels in the country; and
6. stimulate public interest and commitment to engage in the CAADP process in order to address food security, poverty alleviation and economic growth through enhanced agriculture productivity.

It is critical for success that the CAADP agenda and framework be taken up and internalised within a country's development processes and related structures. This engagement and buy-in component enables a country to build motivation so that CAADP implementation is driven from within, rather than by external interests. Clear, formal commitment by government to take a leadership role in facilitating a collective country process for CAADP implementation is essential. This demonstration of energy and motivation from within the country is a non-negotiable requirement for moving the CAADP agenda forward.

2.1.1 What's involved in this component?

Table 4 presents the main milestones, deliverables and activities that should be accomplished within this component.

Table 4. Tasks related to the engagement strategy and partnership development (Component 1)

Task/milestone	Related key action points/deliverables/indicators
Government buy-in and assumption of a leadership role in driving CAADP implementation	<ul style="list-style-type: none"> ■ Initiate engagement with government (Joint aide memoire confirming commitment on both sides). ■ Hold inter-ministerial meeting (agric/finance/NEPAD country desk office) to elaborate on roles and government responsibilities in driving forward the CAADP agenda. ■ Country formally communicates to the REC expressing requesting support on CAADP implementation. ■ Inform in-country NEPAD desk office and produce written commitment to support the process. ■ Appoint country focal point unit (high level responsibility).
Key stakeholders (including development partners) committed to proceed with the CAADP agenda	<ul style="list-style-type: none"> ■ Inform and consult key development stakeholders and partners on the CAADP agenda (i.e. participate in dialogue to define CAADP value addition in the country's development thrust). ■ Realise clarity and common understanding on how CAADP implementation will relate and add value to existing national agriculture development strategies and processes (including existing mechanisms and structures). ■ Agree and operationalise functions and responsibilities for a multi-partner/multi-sector arrangement to drive the CAADP implementation process. ■ Technical committee develops a draft road map as a country-specific guide on the development of the CAADP agenda and identifies entry points for the pillars. ■ Undertake stakeholder analysis.
Public awareness and information support on the CAADP agenda	<ul style="list-style-type: none"> ■ Public and especially potential partner institutions comment and provide input on the country plan in the CAADP agenda. ■ Develop and operationalise the CAADP communication strategy as part of broader stakeholder awareness, consultation and advocacy objectives.
Formal launch of the CAADP agenda implementation	<ul style="list-style-type: none"> ■ Cabinet minutes backing CAADP. ■ CAADP country team prepares the road map and organises a plan and programme for the launch. ■ High visibility launching event bringing together government authorities at the highest level, stakeholders at the national level (public, private, farmers) and organisations at the regional/continental level (REC, AU/NEPAD, development partners). ■ Agree road map (main outline) on the overall implementation process. ■ Obtain partners' commitment and endorsement of the road map.

2.1.2 Initiating this component

A number of key partners have either a comparative advantage or a designated responsibility to support the process of engagement outlined above (e.g. the NEPAD Secretariat, RECs, pillar institutions, and in-country development partners). Engaging at all levels, the RECs, NEPAD and other core institutions should exploit their links through a variety of channels. These would include, for instance, ministerial dialogue, interaction with technical work groups, interaction with permanent secretaries and directors within key ministries, linkages to regional thematic platforms and financing mechanisms, civil society networks, private sector organisations, and councils to advocate buy-in and build desired purposeful and self-sustaining partnerships.

Within their AU mandate to support member states in the implementation of the CAADP agenda, the Regional

Economic Communities (RECs) take initial leadership by garnering support for CAADP country implementation, typically starting with the ministry of agriculture. The RECs will closely liaise with and coordinate the efforts of other core players, including the AUC, the NEPAD Secretariat and the pillar institutions to ensure a coherent support structure to the country process. (Chapter 3 provides more detail on the roles of the various actors in this process).

In pursuing the objectives of this component, national governments, the appropriate REC, and the NEPAD Secretariat will work jointly on such aspects as:

- establishing a country team or other mechanism to sustain momentum on the CAADP agenda through the roundtable process and on into implementation;
- developing a broad based coalition of country level support for CAADP implementation;

- negotiating and agreeing on CAADP value addition within the context of the country PRSP and other existing national agriculture and rural development policies, strategies and programmes;
- fostering a common understanding of the principles and modalities for CAADP implementation at the country level, leading to agreement on a common vision and a road map for the country roundtable processes and CAADP implementation; and
- obtaining high level political commitment and support.

The first steps in this component of the process focus on building local ownership and responsibility, including building a broad-based coalition in support of CAADP as well as the country teams and other consultative bodies. Such collaboration aims to ensure that all stakeholders will contribute to the agriculture development agenda in a spirit of collective responsibility and commitment to enhanced performance of the agriculture sector. Experience with CAADP, and in other instances, suggests that partnerships work best where all parties strive to practise basic principles, such as:

- inclusiveness and transparency;
- a commitment to a common agenda and team work; and
- subsidiarity, complementarities, synergy and mutual benefits and rewards.

Through the principle of partnership, the CAADP framework aims to address one of the critical weakness in past development initiatives, i.e. fragmentation. Therefore, CAADP is not just about which institutions, stakeholders and players are invited to participate in designing and implementing agricultural investment programmes, but also about how these interact and collaborate to leverage synergies and complementarities – from inter-ministerial linkages through to inter-disciplinary and inter-sector collaboration.

2.1.3 Government leadership responsibility

A key starting point for CAADP country implementation is fostering government understanding and commitment to lead the process (in most cases by providing an enabling environment and space). Among the first required actions is that the national government appoints a CAADP country team and clarifies its functions (in terms of competencies and authority, as expressed in formal terms of reference). As discussed in detail in Chapter 3, constituting the CAADP country team is much more than an exercise in administrative appointments. It entails negotiations at various levels of authority in government and partner institutions to ensure that the functions of the national CAADP team are understood and that these functions and responsibilities are internalised within the structures of partner institutions. In terms of the CAADP country team's composition, it is important that there be a balance of members with formal authority (by virtue of their positions in the ministries or stakeholder organisations), as well as technical competencies and responsibilities and cross-sector representation.

The CAADP country team is not just another 'committee', but rather a structure for sharing responsibilities related to CAADP implementation. Where no suitable coalition structure is yet in place, a country team could be built upon pre-existing inter-departmental working groups or committees addressing

agriculture, natural resources management or land. Institutional work may be required to strengthen the team's membership or terms of reference for programmatic, advocacy and management roles.

Key elements of the terms of reference for a country CAADP team include responsibilities for:

- developing a road map for the CAADP roundtable and related investment frameworks/programmes and managing a budget for preparing and supervising the roundtable process;
- collecting and assembling relevant information for the CAADP diagnostic, including a list of relevant past and present interventions;
- identifying and recruiting consultants to undertake required studies, approving consultants' outputs and disseminating the findings;
- identifying capacity building needs for selected key institutions;
- promoting CAADP and programmatic approaches to agriculture and make the case for CAADP in national policy debates and fora; and
- monitoring progress in implementation, based on indicators.

Chapters 3 and 4 provide additional information regarding the role and tasks of the country team. Sample terms of reference from actual CAADP country teams are available on the CAADP website.

2.2

Component 2: Evidence-based analysis – deepening understanding around common priorities

2.2.1 What's involved in this component?

The centrepiece of this component is analytical work that underpins evidence-based decisions and investment programme planning. It represents the primary 'knowledge management' component of CAADP, with elements meant to stimulate information and knowledge generation, application and related learning and review.

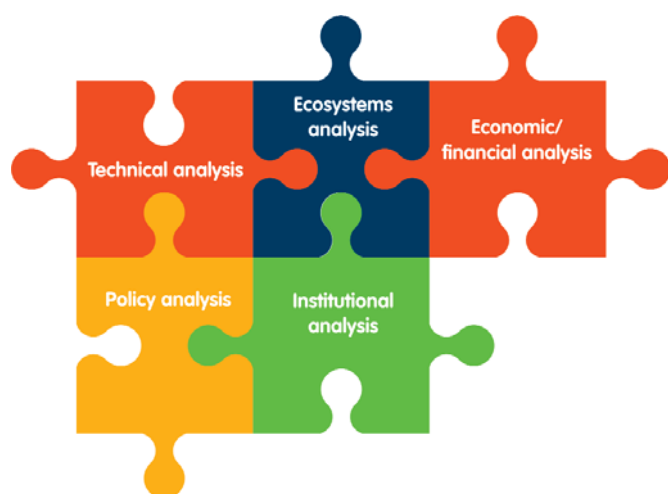
The component comprises the execution of diagnostic studies to identify current agricultural sector performance, and the main bottlenecks, challenges, opportunities and drivers for increased agriculture productivity. Such analysis will ensure that country agricultural development strategies and investment programmes are designed in a professional way, informed by analytical data and solid reasoning. Rather than taking the traditional approach of outsourcing this work to external consultants with little direct stake in development outcomes, this component engages all relevant interest groups in assessing the status quo, identifying priority investment options, and engaging in policy dialogue and

continual programme performance reviews. In other words, it enables the 'system' to learn about itself, thereby increasing its own intelligence and learning capability.

This is expected to result in:

- increased capacity for analytical work within public, private and civil society organisations;
- structural adjustments that better link development planning processes and institutions (especially in the public sector) to knowledge centres and think-tank institutions, such as universities and research institutions; and
- identification of potential priority investment areas and possible levels of resource requirements.

Figure 3. Key aspects of the analytical work (Component 2)



The analytical work covered in this component should not be viewed as a one-time linear exercise, but, rather, should be developed and internalised as part of an ongoing process of defining, implementing and reviewing strategies and investment options – it should be integrally linked to peer review and evaluation mechanisms. This should ensure that lessons are captured from each round of strategy design and implementation, leading to learning and the identification of new opportunities and adjustments in the vision of what is required for agricultural development.

The analytical work is expected to be as comprehensive as possible, but should not act as if there has never been any prior analytical work done in the country. A compilation of previous studies and a reconnaissance of existing knowledge banks (including indigenous knowledge) represent important starting points. It is also important to understand and evaluate existing programmes and resources, including documenting experiences and lessons from past initiatives. This component is not about conducting studies for their own sake, but more about advancing new knowledge and understanding to support better quality interventions for enhanced agricultural productivity. Such analytical studies should also be valuable in establishing a baseline on some critical parameters for eventual progress and impact assessment.

As part of the process of setting out terms of reference for this component, it will be important to identify capacity building requirements to strengthen local capacity for analytical work, use and the interpretation of data/information from modern

analytical tools and methodologies. Input and expert guidance from the four CAADP pillar institutions² and other knowledge institutions will be essential for carrying out this component. The CAADP pillar framework documents contain strategic information and tools for exercises related to analytical works.

Figure 3 depicts the five main issue sets that should be covered through stocktaking and diagnostic studies. Each of these domains is described below. It is also important to note that a major weakness in most current assessment studies is a limited focus on a single sector or discipline. Therefore, this component also attaches great importance to a sixth element – drawing interconnections across the five issue sets.

2.2.2 Technical analysis

This activity identifies locally feasible technical options for attaining higher productivity by looking at agriculture practices that have succeeded or failed in the area/country or relevant extrapolation domains, and focusing on lessons for up-scaling. This analysis should be conducted across the four CAADP pillars, and should focus on the agricultural sub-sectors that are viable in the area/country (e.g. crop production, livestock, aquaculture, forestry etc.). The technical analytical work will identify a basket of technical options that could be recommended for up-scaling within the identified priority investment areas. With the support of the pillar frameworks and expert backstopping from the pillar institutions, the country may also explore experiences and possible options, developed elsewhere, that are promising within the local context.

2.2.3 Ecosystems analysis

This aspect of the analytical work focuses on the identification of issues, barriers and opportunities on the natural resource side, including interactions between natural products and services and human socio-cultural/ traditions and socio-economic dimensions. This should provide a comprehensive assessment of the main agro-ecological and landscape characteristics (e.g. soil and climatic characteristics) and main land use systems, using geographic information, analysis of existing data, and expert and indigenous knowledge. This may take the form of a natural resource audit, including interpretation of regional/cross border parameters and issues.

Main data and information analysis could include:

- bio-physical characteristics such as soil condition, water availability, climate, land use, land management, and intensification systems;
- socio-economic and farming systems characteristics such as level of poverty, importance of agriculture in total household revenue, decision-making structures, availability of skilled and unskilled labour, land tenure systems, and availability of market opportunities;

² The four CAADP pillars are: Pillar 1 - Extending the area under sustainable land management and reliable water control systems; Pillar 2 - Improving rural infrastructure and trade-related capacities for market access; Pillar 3 - Increasing food supply, reducing hunger, and improving responses to food emergency crises; and Pillar 4 - Improving agriculture research, technology dissemination and adoption. Chapter 3 describes in further detail the roles of the pillar institutions (the organisations or networks charged with backstopping work related to each of the pillars), and Appendix 3 contains background information and further references for each of the four pillars.

- bottlenecks and constraints to reducing land degradation, particularly in 'hotspots' such as land tenure, access to knowledge (technology), inputs, financing; and
- opportunities for the adaptation and/or adoption of farming and land-use practices capable of providing for the desired increase in yields.

2.2.4 Financial-economic analysis

This focuses on the assessment of existing funding levels for agriculture, differentiating between public expenditure components and development assistance financing. It may include a formal public expenditure review (PER), guidelines for which are developed as 'Tools' in the CAADP Pillar Framework Documents.

2.2.5 Policy analysis

This reviews policies related to agriculture and its various sub-sectors to identify the main bottlenecks that have the most impact (positive or negative) on the development agenda. The CAADP country team, with specialised technical backstopping support mobilised through the pillar frameworks should carry out a comprehensive analysis of the country's policies linked to the agriculture sector. This may include a review of regional policies and agreements to which the country subscribes.

2.2.6 Institutional analysis

This relates to an analysis of relevant institutions (public and private) at national and sub-national level related to the implementation of the agriculture agenda in the country. This assessment is also expected to include a comprehensive stakeholder analysis. Whether undertaken as part of diagnostic stocktaking or independently, an institutional diagnostic study should:

- assess agricultural institutions' mandates and capacities;
- appraise the strengths and weaknesses of the identified institutions, leading to the identification of constraints and opportunities in the context of strengthening implementation/delivery mechanisms for agriculture programmes; and
- assess how to improve coordination and inter-agency cooperation on agriculture and how to ensure buy-in from key line ministries.

A specific focus is put on the analysis of institutional capacities for delivery. The Capacity Development Strategic Framework (CDSF) which was developed by a large pan-African group of stakeholders through NEPAD (<http://www.nepad.org>), helps to analyse critical capacity issues. The analytical cornerstones of the CDSF are:

- **Leadership transformation:** Leaders and managers at all levels (junior to senior, local to national), who are committed to collective transformation and to performance while fostering the growth and development of African human potentials.
- **Citizen transformation:** African citizens who are informed and organised to foster and claim accountability and quality services, and responsibly take charge of their own development without waiting for government.

- **Knowledge-based and innovation-driven decision and development processes:** That enhance fact and evidence based decision making and encourage increased investments in knowledge and scientific institutions and science and technology.
- **Utilising African potentials, skills and resources for development:** Mobilising African financial and human resources for development and transformation – locally, continentally, and globally.
- **Capacity of capacity builders:** Adaptive capacity development institutions driving a progressive agenda for capacity development and producing entrepreneurial client-oriented cadres.
- **Integrated planning and implementation approaches and continuous improvement processes:** Integrated and coordinated approaches for the planning and implementation of development processes within and across different levels.

These analytical cornerstones and their criteria and tools for assessment are used in analysing the overall capacity of the institutional system for delivering results. More detailed assessments are followed in technical terms. The main value added from the perspective of the CDSF is that it takes a systemic view of organisational capacities, rather than looking at the technical capacities of individual institutions only.

2.2.7 Stakeholder review and validation of the study outcomes

To link this component with the other CAADP implementation activities, it should include opportunities for stakeholders and interested partners to digest the studies and consider their implications for programme design. A synthesis report of all the studies should be presented for stakeholder review and, where necessary, validation. The synthesis report should:

1. Identify current challenges and bottlenecks in the agricultural sector and options for addressing them,
2. Identify the priority areas for addressing enhanced agriculture performance in the particular country. These will represent the aspects of the agriculture strategy and plan that the country identified as primary drivers to achieve the desired growth in agricultural productivity.
3. Define in broad terms the major policy reforms, institutional capacity and competency requirements, governance arrangements and modalities for evaluation and peer review in implementation.
4. Spell out the programme priorities and options around which investment programmes could be formulated, and contain sufficient detail to justify specific financing commitments.

Table 5 presents the general outline for this component, including key benchmarks and related action points. This is followed by a more detailed discussion of specific activities related to the analytical work.

Table 5. Tasks related to CAADP evidence-based planning (Component 2)

Task/milestone	Related key action points/deliverables/indicators
Commission stocktaking and analytical work	<ol style="list-style-type: none"> 1. Agree terms of reference for studies <ul style="list-style-type: none"> ■ Ecosystem and technical diagnostic assessment. ■ Policy, financial and institutional diagnostic and capacity assessment. ■ Regionalism (a country's regional comparative advantage and aspects from which it would derive better returns by pursuing programme at the regional level). 2. Engage experts, undertake studies and prepare a draft report
Submit studies	<ol style="list-style-type: none"> 1. Technical Committee critically examines the report (quality assurance) 2. Technical Committee integrates comments and endorses revised report

The analytical work of the CAADP roundtable process is envisaged as taking place in three interactive phases. These are:

Phase 1: Analysis of priority issues/challenges hindering opportunities that could be exploited to enhance agriculture productivity and growth

Nature of the analysis	Roles and responsibilities of principal actors	How/with what tools?
<ul style="list-style-type: none"> ■ Main element of the initial stocktaking and diagnostic work. ■ May be repeated at periodic intervals as part of a review and stock-taking process. ■ Broad based and open-minded. 	<ul style="list-style-type: none"> ■ The CAADP country team is the core manager of the exercise and the central point for the coordination of studies including the organisation of stakeholder consultations around the outcomes of the studies. The country team also defines the scope and depth of the stocktaking and diagnostic work, and develops terms of reference for the needed studies. ■ Regional Economic Communities provide logistical and organisational support to the country teams including support and monitoring of links/input from the pillar institutions (community of experts). ■ Pillar institutions provide expert guidance with regard to the studies and pools of possible specialists (internal as well as external) who could be enlisted to conduct/support the studies and analytical works. ■ NEPAD supports the country teams through links to international knowledge centres, and through incorporating international issues in stocktaking and diagnostic work (including consideration of AU decisions and declarations). 	<p>Two main components are envisaged in this phase:</p> <ol style="list-style-type: none"> 1. Expert studies (review, assessment, analysis/diagnosis). 2. An inclusive and systemic stakeholder consultation and validation of outcomes from the expert studies. <p>Major tools include:</p> <ul style="list-style-type: none"> ■ Technological assessment – technical options, best practices, potentially viable/feasible options from local and international 'shelves'. ■ Ecosystem and environmental assessment (a natural resource audit of the local natural resource base). ■ Financial/economic studies/reviews (e.g. cost–benefit assessment, public expenditure reviews etc.). ■ Policy analysis – including a review of policy making/revision processes/mechanisms. ■ Institutional analysis – capacities and competencies analysis, governance, and stakeholder analysis. <p>Tools/exercises could include institutional mapping, policy review, review of NAPs, PRSPs and sector strategies, projects, best practices, success stories, territorial analysis PSR in agro-ecosystems; and M&E learning tools/peer review mechanisms for the different levels.</p>

Main outputs of phase 1

1. Baseline information on various aspects (as available data allow).
2. Inventory of the country's existing information and knowledge networks and centres (institutions and systems by which the country collects, collates, reviews, up-dates, processes and stores agriculture related information).
3. Indication of some of the critical information/data gaps.
4. Greater understanding (evidence based) of the root causes, barriers, challenges and opportunities related to agricultural development.
5. Preliminary identification of broad priority issues, factors and/or sub-sectors that require focused study.

Phase 2: Analysis of priority strategies and options to address bottlenecks (challenges) and/or opportunities to enable the country to achieve set agricultural growth targets

Nature of the analysis	Roles and responsibilities of principal actors	How/with what tools?
<ul style="list-style-type: none"> ■ Picks up on the priority issues (challenges/barriers/ opportunities) identified and validated under Phase 1. ■ More in depth and specialised (focused) analysis exploring for the best possible (technically, financially economically, ecologically, etc.) strategies and implementation systems (institutional arrangements, capacities and policy framework) i.e. providing a basis for designing investment programmes. ■ Factual and evidence-based analysis consolidated around the priority issues which may well align with the CAADP pillars or a mix of the CAADP pillars. 	<p>The CAADP country team continues as the core manager of the exercise and as a central point for the coordination of the studies, including organisation of stakeholder consultations around the outcomes of the studies. The country team will also coordinate the definition of the scope and depth of the required analytical work based on the priority issues identified in Phase 1, as well as required information/data gaps – in terms of possible additional studies required and the actual analysis and diagnostic works. It will also define arrangements under which the analysis work is pursued (e.g. lead specialists supported by technical task teams) and appropriate terms of reference (ToRs).</p> <ul style="list-style-type: none"> ■ It is in this part of the exercise that the pillar frameworks and pillar institutions/experts will be most important to ensure (i) specialists are identified (ideally locally) for expert support, and (ii) appropriate tools are used for the required analysis. Specific pillar institution input will be in: <ul style="list-style-type: none"> ■ elaboration of the lead specialists'/task teams' ToRs; ■ identification of specialists; and ■ quality assurance in the analysis and related outcomes. ■ RECs' roles: <ul style="list-style-type: none"> ■ regional level aggregation and reporting; ■ management and logistical support in management for the roundtable/ stocktaking work plan; and ■ strategic guidance in aligning to regional issues and policies. ■ NEPAD's roles: <ul style="list-style-type: none"> ■ quality assurance and aggregating and reporting at continental level; ■ linking and aligning with continental level peer review/APRM; institutional memory as well as inter-regional knowledge sharing and learning; and ■ strategic thinking and guidance especially in responding to emerging global issues. 	<p>This is a specialised exercise and will often require expert input including understanding and articulation of inter-disciplinary/inter-sector dynamics.</p> <ol style="list-style-type: none"> 1. One or a team of lead specialist/s will be engaged to work with an inter-disciplinary/inter-sectors task team (for internal peer review and validation) 2. Specialised stakeholder engagement will be organised to get input on the strategies and options coming up in the analysis <p>Tools: The pillar-based analytical framework (as defined in the CAADP pillar framework documents) provides the main tools and guidelines/ checklists for this analysis. However, other specialised analytical tools and modelling tools developed and being used by specialised institutions could also be used in special service-provider contracts.</p> <p>Note: Analytical work during this phase could be clustered according to subject/pillar-specific teams (task teams) with overall coordination by the country CAADP team</p>

Main outputs of phase 2

1. Key and focused evidence-based strategies (outlining the WHAT and HOW) on the possible 'solutions' to deal with identified barriers (the strategies defined should directly link to addressing the barriers/challenges and opportunities identified in Phase 1). This phase may also offer related policy framework requirements for the successful implementation of the strategies, and institutional arrangements and human resource (capacities and competencies) requirements.
2. A link to knowledge and information management and

- M&E (including the generation and capturing of data).
3. Estimated investment financing requirements over a defined period for some of the key components of the strategy/ies.

Phase 3: Design of investment programmes

Nature of the analysis	Roles and responsibilities of principal actors	How/with what tools?
<ul style="list-style-type: none"> ■ Follows on from the Phase 2 exercise. ■ Work under this phase will be based on the strategies and possible investment options defined under Phase 2. ■ This is technical programme design work, i.e. a specialised assignment with little or no workshop value (all required stakeholder consultations should have been undertaken during Phases 1 and 2). ■ Consultations are on practical implementation and costing aspects. ■ This phase will normally run after the signing of the compact and therefore some of the exercise is essentially bilateral discussion between implementing agencies and the potential financing agencies/development partners. 	<ul style="list-style-type: none"> ■ The country CAADP team remains core manager of the exercise and central point for the coordination and facilitation of the bilateral negotiations. ■ Exercise should/will be planned and executed as a systemic exercise within the relevant decision making processes and identified implementing agencies/organisations/ departments (i.e. is not done as an external consultants assignment. External experts – ideally acquired through the pillar institutions – could however, be used to support the exercise on specialised aspects). ■ RECs' roles: <ul style="list-style-type: none"> ■ review for regional investment programmes; ■ possible trans-boundary negotiations; and ■ resource mobilisations from regional sources and systems. ■ Pillar institutions: Expert support in possible analytical work (need for information, data and expertise) in the design of the investment programmes. ■ NEPAD's roles relate to the mobilisation of capital/investment financing and the strengthening of local (public and private) capacities to transparently and effectively absorb investment financing support): <ul style="list-style-type: none"> ■ linking up for partnerships between government/implementing agencies and possible funding sources (development partners, international private sector etc.); ■ advocacy elements for government commitment to public expenditure budget support and greater efficiency and effectiveness in the use of investment financing; ■ monitoring and evaluation on development assistance; and ■ international lobbying for trade and investment financing support including accessing innovative financing mechanisms such as carbon funds and bioenergy grants. 	<ul style="list-style-type: none"> ■ Integrated within existing systems and processes for designing investment programmes (should provide desired link to national development planning processes). ■ The exercise arranged as per identified priority strategies is delegated to identified institutions with the best implementation capacities and advantages (this need not necessarily be in government, though a link to a relevant government department is desirable and recommended). ■ The first part of the exercise is analytical and diagnostic work is to bring all the priority strategies and options (covered under Phase 2) into some mutually integrated investment programme even though an investment programme may have a key issue or sub-sector entry point (e.g. policy reforms or livestock), the ultimate investment programme will integrate relevant strategies (e.g. marketing and entrepreneurship development, natural resource management and institutional capacity building for an investment programme whose 'entry point' is livestock).

Main outputs of phase 3

1. Investment programmes (coherent and integrated) addressing:
 - appropriate costing and a financing plan;
 - an appropriate implementation plan and involved institutions/agents including possible institutional restructuring;
 - an implementation monitoring and evaluation plan including modalities for absorbing M&E feedback; and
 - an impact assessment.

2.3

Component 3: Development of investment programmes, partnerships and alliances

Mobilising resources through domestic and international alliances is a crucial element and output of the CAADP roundtable process. Alliances and partnerships with public and private investors, institutions, development partners and farmers are needed to obtain the long-term commitment required to move the agriculture agenda forward. Within the roundtable process, commitment of technical and financial resources enables movement from the initial evidence-based analysis and investment planning described above, to the fully-fledged development and implementation of specific investment programmes. Actively engaging partners and investors through alliances and partnerships is necessary in order to mobilise needed resources in a timely manner and move quickly towards implementation.

A considerable amount of work has already been done in terms of developing and strengthening partnerships related to agriculture and rural development. This component offers more specific tools and strategies for building and sustaining alliances and partnerships to attract financial support to the investment programmes identified in the country CAADP roundtable process.

2.3.1 What's involved in this component?

African countries have developed and implemented plenty of investment programmes. So what is different about doing this under the rubric of CAADP? If the tasks of the other three implementation components have been done well, several important differences should result. These are:

- high quality, multifaceted analysis based on hard data underpinning the assessment of key constraints to and promising opportunities for agricultural development;
- stakeholder review of the agricultural sector assessment studies generating a broad consensus on priority areas for action and investment, and highlighting the investment prospects that are most likely to translate into real growth and high returns;
- systemic analysis of structural constraints identifying needed institutional and policy reforms and creating an enabling environment for successful programme implementation;
- identification of needed organisational and competence development leading to a strengthening of local and institutional capacity to pursue the country's and continent's development agenda;
- cross-stakeholder dialogue and the mutual understanding that this fosters laying the groundwork for the collaborative arrangements required for efficient implementation.
- enabling potential financing partners to participate in the design of investment programmes to guarantee programme quality and high investment returns, leading to

a shared vision that permits negotiation for financing support; and

- increased harmonisation and alignment of domestic and international support along the country-identified agriculture growth options.

In other words, success at the programme design stage is the culmination of and pay off for all the hard work done up to this point. A detailed, investment programme design exercise is needed to translate the commitments and planning that took place through the other components in the roundtable process into fully funded programmes ready for implementation.

Box 4. Preparing the CAADP country compact document

The compact is structured to cover at least seven important topics. Section 1 covers the background on the implementation of CAADP in the member state, highlighting CAADP as an African-owned agenda, a shared development framework and a value addition agenda at the country level. Section 2 states the rationale for and use of the national CAADP compact while Section 3 outlines the long-term vision and commitment of the government for economic and social development. Section 4 gives the government's agenda for agricultural growth, poverty reduction, and food and nutrition security. Section 5 covers forging partnerships for the successful implementation of the investment priorities. In particular, it outlines commitments from government, development partners, the African Union and regional partners, and from producer organisations, the private sector and civil society. Section 6 covers implementation of the partnerships, focusing in particular on (a) coordination and oversight, (b) funding mobilisation and (c) implementation capacities. Section 7 covers endorsements, providing for signatures of partner and key stakeholder representatives to commit their respective institutions in the implementation of the partnership. The annexes outline key priority areas for investment in sufficient detail to bind partners and to enable development of the areas into full investment programmes.

Programme design is a professional and expert undertaking and the CAADP framework is meant to bring such expertise into the design of agriculture investment programmes. Investing in the agricultural sector, from production enterprises through to various processing and industrial supply services, should be approached with the same level of rigorous analysis as any other commercial investment undertaking. The viability and profitability of agricultural enterprises is at the core of sustainable growth in the sector, and cannot be over-emphasised.

Important indicators of success at the country level include the amount of funds raised in support of CAADP-related country agriculture investment programmes, the degree of alignment within the CAADP agenda among the various actors (public sector, private sector, and development partners) at the national level, and the level of participation among partners

and investors in the design and implementation of the investment programme. Table 6 summarises the main tasks and milestones that should be accomplished under Component 3.

Table 6. Tasks related to development of investment programmes, partnerships and alliances (Component 3)

Task/milestone	Related key action points/deliverables/indicators
Validation workshop: national consensus on the drivers of growth and priorities and levels of investments required	<ul style="list-style-type: none"> ■ Stakeholders critically review findings and take ownership of the analysis, the identified key drivers and priority investment areas and requirements. ■ Partners take collective responsibility for pursuing the agricultural agenda along the identified drivers of growth. ■ Stakeholders are clear about their roles, responsibilities and contributions required to make this agenda work.
Agreement on identified priority areas of investments by national and international partners (compact)	<ul style="list-style-type: none"> ■ Roundtable conference for endorsement of priority areas and commitment for investment and implementation. ■ Signing of CAADP country compact, indicating commitment by government and development partners and other stakeholders. ■ Agreement on the elements of the investment programmes.
Develop an initial set of core investment programmes	<ul style="list-style-type: none"> ■ Undertake a detailed formulation exercise (with the participation of all key stakeholders including target beneficiaries, and supported by expert backstopping from the pillar institutions). ■ Align investments to the priorities of CAADP and national priorities. ■ Align on-going programmes with the CAADP agenda.
Clearly articulate implementation modalities clarifying the roles of key players	<ul style="list-style-type: none"> ■ Identify implementing partners on the basis of their capabilities and previous performances, and agree institutional arrangements. ■ Put in place coordination mechanisms.
Define and integrate capacity requirements for programme implementation in the programme design	<ul style="list-style-type: none"> ■ Conduct a capacity assessment prior to the phase of programme and implementation design. ■ Put in place performance enhancement programmes.
Assess costs and mobilise and commit required resources (including government investment financing)	<ul style="list-style-type: none"> ■ Agree on an investment instrument (e.g. SWAP, projects, etc.). ■ Agree funding between governments, DPs/foundations (aligned donor support). ■ Secure government/ministry of finance budget commitment. ■ Get the private sector engaged and committed to participating in the programme.

2.3.2 How it can be done: key principles guiding the implementation

Key principles that will guide the implementation of this component are:

- **Adoption of a programme-based approach.** CAADP calls for a significant increase in investment in agriculture at the national level and greater harmonisation of efforts towards the priorities that most influence growth. This will require greater focus on programmatic approaches and a move away from piecemeal or small project based investments. Roundtable support for investment design should support the development of government-owned programmes

rather than the development of numerous projects. This will allow for greater coherence in supporting sector priorities and better facilitate the scaling up of new investment.

- **Linking investment design to resource mobilisation.** In order to increase investment in national programmes, there is a need to engage with potential investors and involve them in the investment design process. Without such linkages, it may be difficult to mobilise adequate resources in a timely manner or for the appropriate areas of support.
- **Developing alliances and partnerships to mobilise resources from the beginning of the roundtable process rather than at the end.** A key factor in successfully mobilising resources around CAADP-related programmes will be early engagement with partners and investors. For many stakeholders, harmonising and aligning resources around the CAADP agenda may require adjustments to current programmes, resource allocations or operational modalities. Much of this will likely require some time to develop fully. Early participation by stakeholders can facilitate a sense of ownership in the process, which can increase commitment to participation, and provide the time needed to move towards increased funding levels or more harmonised modalities of support.
- **Focusing on the full range of stakeholders – farmers, private sector, civil society, development partners and public sector – and their synergies.** The CAADP agenda calls for greater investment from both public and private sources in the areas that have been shown to have the greatest potential to increase growth and reduce poverty. Because agriculture is a diverse sector with numerous different actors, the roundtable process should engage with the full range of stakeholders in the sector – farmers, agro-industry and other private sector actors, civil society, development partners, and public sector across all relevant ministries – in order to identify priorities for growth and mobilise the maximum amount of resources to support them.

The actual alliances and partnerships should reflect specific resource commitments by various parties to support elements of the country investment programme. These may be direct financial commitments for various aspects of the programme, indirect financial commitments to align resource allocation with priorities within the investment programme (in the case of the private sector), or commitment of technical support for specific elements of the programme. The investment instrument used in these financial and technical resource commitments will also likely vary depending on the type of partner and the specific country context. In some cases, financial resources could be mobilised into a consolidated fund for a sector-wide programme. In other cases, discrete projects could be developed under the umbrella of the investment programme.

Alliances and partnerships can be developed through participation in CAADP-related platforms within specific pillars or through the roundtable process itself. The launching of the roundtable process and engagement around analytical work are key starting points. Other types of platforms may also be used to build partnerships. The Pillar 2 framework document, for instance, has called for the creation of business-to-business platforms or private–public sector platforms to engage various private sector stakeholders. In some countries, 'friends of CAADP' groups have been formed. Such platforms can be one way of engaging partners, identifying

synergies and facilitating the commitment of resources for CAADP-related programmes.

Mechanisms for formalising commitments of resources will likely vary according to the specific country context. Obtaining a broad consensus through signing the CAADP country compact may not be sufficient to stimulate resource flows, so formalising commitments through follow up and the development of specific side agreements may be required. Continued engagement after the compact signing is necessary to further develop the investment programme and the specific resources to be supplied by partners – both domestic and international. In many cases, this will involve engaging partners in designing the investment programme and finalising specific programme documents and legal agreements.

The need for support for implementation, through investment design, M&E and peer review through the roundtable process, will vary from one country to the next based on the stage of programme planning or design within a country. In some cases, new programmes are being developed that will involve in-depth programming exercises, while in others, national investment programmes have already been undertaken and there is a need to support the identification of scaling up activities or adjustments in line with CAADP priorities. A clear assessment of the required inputs from partners within various pillar networks, RECs or NEPAD will be needed to guide the process.

Investment design exercises should focus on the detailed design work needed to move beyond broad priorities or investment areas into the full detail required to begin implementation. An investment design exercise should clearly spell out programme areas and activities to be financed; operational modalities or instruments; implementation arrangements including institutional structures and relationships; fund flows and financial management procedures; expected deliverables and outcomes; and monitoring and evaluation arrangements. In some cases, detailed investment design may occur after the signing of a CAADP compact; in other cases it may come before the compact is signed.

2.3.3 CAADP and international development assistance

Africa's development partners have endorsed Africa's determination to drive its own agricultural development, through the CAADP framework. The CAADP framework is also increasingly recognised as providing for coordinated and coherent engagement with development partners at various levels and hence taking up, on the African side, efforts on aid effectiveness. The development partners' commitment to providing harmonised support for national development priorities, expressed in the Paris Declaration, has been restated in the 2008 Accra Action Agenda and at the UN General Assembly in September 2008. This combination of internal (African leadership) and external (development partners) support for greater and better, coordinated investment in agriculture is an important move towards strengthening the sector.

While CAADP recognises the need for new investment resources, equally important is the need for more efficient and effective use of available resources based on real and sustainable returns on investments.

The CAADP framework provides a mechanism for coordinated, coherent and more focused engagement with technical and specialised institutions including UN agencies, multilateral organisations and international private foundations. The CAADP Partnership Platform (CAADP PP), established in 2006 and meeting annually, serves as a unique forum where African institutions interact as peers with donor and development partner institutions to review and enhance coordination and partnerships in the implementation of the agricultural agenda.

2.3.4 The role of the national CAADP 'compact'

The national CAADP compact is a strategic benchmark in the country roundtable process. It is signed by key stakeholders and players in the country to demonstrate commitment to a shared vision and emerging strategies to collectively address the country's agriculture development agenda. This endorsement puts a seal on the commitment of all parties to support and work towards increasing investment in the agriculture sector. This support is in line with (1) the CAADP commitment of allocating 10% of budgetary expenditure to the agriculture sector and (2) efforts and collective responsibilities in reaching the target of a 6% annual growth rate in the agriculture sector, necessary for agriculture to lead in achieving MDG 1.

The compact outlines key issues and agreements on policies, strategies, priority areas, investment plans and levels, for the comprehensive development of the agricultural sector of a member state or region. It is a general framework for implementing the agricultural development agenda under the CAADP principles and is a product of the roundtable processes, based on the analytical work and stakeholder consultations and consensus described in Section 2.2.

The compact does not necessarily outline actual investment programmes but will contain (as annexes), sufficient details of evidence-based priority investment areas to allow (i) specific financing commitment and (ii) easy conversion into actual investment programmes.

The compact is important because it (a) sets the parameters for long-term partnership in the agricultural sector; (b) specifies key commitments on the part of government and development partners; and (c) clarifies expectations across all stakeholders and players including agribusiness and farming communities in order to ensure successful implementation of the agricultural development agenda. Most important among these are sector policy, and budgetary and investment commitments as well as commitments to align and scale up long-term development assistance to the sector.

Signing of the country compact: At an appropriate stage in the country roundtable process, a special public roundtable meeting is organised. The most significant outcome of the roundtable meeting is the overall endorsement and signing of the CAADP compact by government and country stakeholders

and players including the private sector, CSOs and development partners. Key 'witnesses' to the signing may include representatives of the AU/NEPAD and the relevant REC.

2.4

Component 4: Assessment and learning from process and practice – adapting and re-planning

2.4.1 What's involved in this component?

Linked to implementation and the implementation mechanisms, this component builds in integrated monitoring and evaluation systems to quickly capture learning about programme performance and make timely adjustments. Learning at multiple levels will already have been happening throughout the CAADP consultative process, but it becomes especially important at the stage of programme design and implementation. Rapid feedback processes are crucial for detecting obstacles, troubleshooting problems, and ensuring effective communication among stakeholder groups who must collaborate in implementation. For this reason, this component does not treat M&E as a distinct activity, but rather makes it inseparable from the operation of the investment programmes. M&E will also be closely related to the development of benchmarks for progress assessment and a transparent, common peer review system based on clear indicators. Effective M&E systems and peer review will ensure progress towards meeting the growth and poverty reduction targets; also, it will strengthen programme credibility and the confidence of investors and other stakeholders in the CAADP process. Table 7 summarises the main tasks and milestones that should be accomplished under Component 4.

Table 7. Tasks related to programme design and implementation, M&E and peer learning (Component 4)

Task/milestone	Related key action points/deliverables/indicators
Agree upon an M&E framework	<ul style="list-style-type: none"> ■ There is learning and readjusting - so consider the learning aspect and process management.
Put in place a monitoring mechanism linked to the peer review mechanism	<ul style="list-style-type: none"> ■ Put in place a monitoring mechanism. ■ Carry out annual performance reviews (process and impact). ■ Regularly adapt programme design and arrangements in view of lessons learnt. ■ Carry out impact assessments and lesson learning. ■ Identify new programmes and opportunities.

2.4.2 How it can be done? Key principles guiding the implementation

The main principle supporting M&E is integrated into national systems and provides CAADP-comparable data. M&E is an essential element of the implementation process for measuring progress on CAADP targets and priorities. The roundtable process should assist in the improvement of national M&E systems to better capture and analyse the effects of national investment programmes. Building in elements that generate common types of data on CAADP means that there will be information that can then be used to measure progress on CAADP implementation at the national, regional and continental levels.

In supporting the development of better M&E systems, emphasis should be placed on building the capacity of implementers and stakeholders to monitor and evaluate programmes, and developing appropriate structures and systems for M&E to reflect specific programme and CAADP needs. In addition, the roundtable should facilitate development systems that provide regular information on the performance of the CAADP-related investment programme and should ensure that documentation and dissemination are an integral part of the M&E system.

Formal peer review exercises may not be appropriate in all roundtables but may be useful in some cases, particularly in those countries that have already undertaken an extensive national investment programme design prior to the launching of a roundtable. The purpose of the peer review exercise is to provide targeted inputs into the design or adjustment of an on-going programme. The review should be seen as a technical input and a lesson learning exercise, and should not be pursued in the absence of commitment and interest from the national government in applying some of the resulting recommendations.

2.5

The sequencing of the CAADP country implementation process

CAADP implementation is by no means a linear 'single-dimension' process. However, it is still possible to take a 'bird's-eye view' and identify the overall flow of activities. Such a view highlights the elements that are changing (adaptations, improvements, new practices etc.) as well as what is being done differently to effect such change. This should give the CAADP teams and stakeholders providing support a sense of the sequence of components in the CAADP implementation process. This should be helpful, for instance, in preparing and managing country or regional work programmes for activities intended to support 'CAADP implementation'.

2.5.1 Multiple dimensions of the core implementation process

The CAADP implementation process is **not** a single-loop process as is normally undertaken during the design of investment programmes. Rather, the process is integral to the business model, guiding the planning and implementation of agriculture development programmes. Its value and, indeed, its key outcomes are more than just the design of 'quality' investment programmes; they are also reflected in changes in the ways investment programmes are designed and implemented. These changes are triggered and sustained through on-going organisational development; deepening partnerships based on a shared vision and collective responsibility and mutual value; evidence and knowledge-based support systems, including the on-going evaluation and strengthening of human capacity; and on-going systemic responsiveness and policy reforms through comprehensive, integral and better informed policy dialogue and review structures.

Figure 4 presents what, in reality, is a multi-dimensional, multi-disciplinary process in a simplified form giving the major milestones in the process.

It should be emphasised that CAADP implementation is a systemic undertaking that should be embedded and reflected within existing human, institutional and organisational arrangements. This is why in the **initial engagement** at country level, the following are essential considerations:

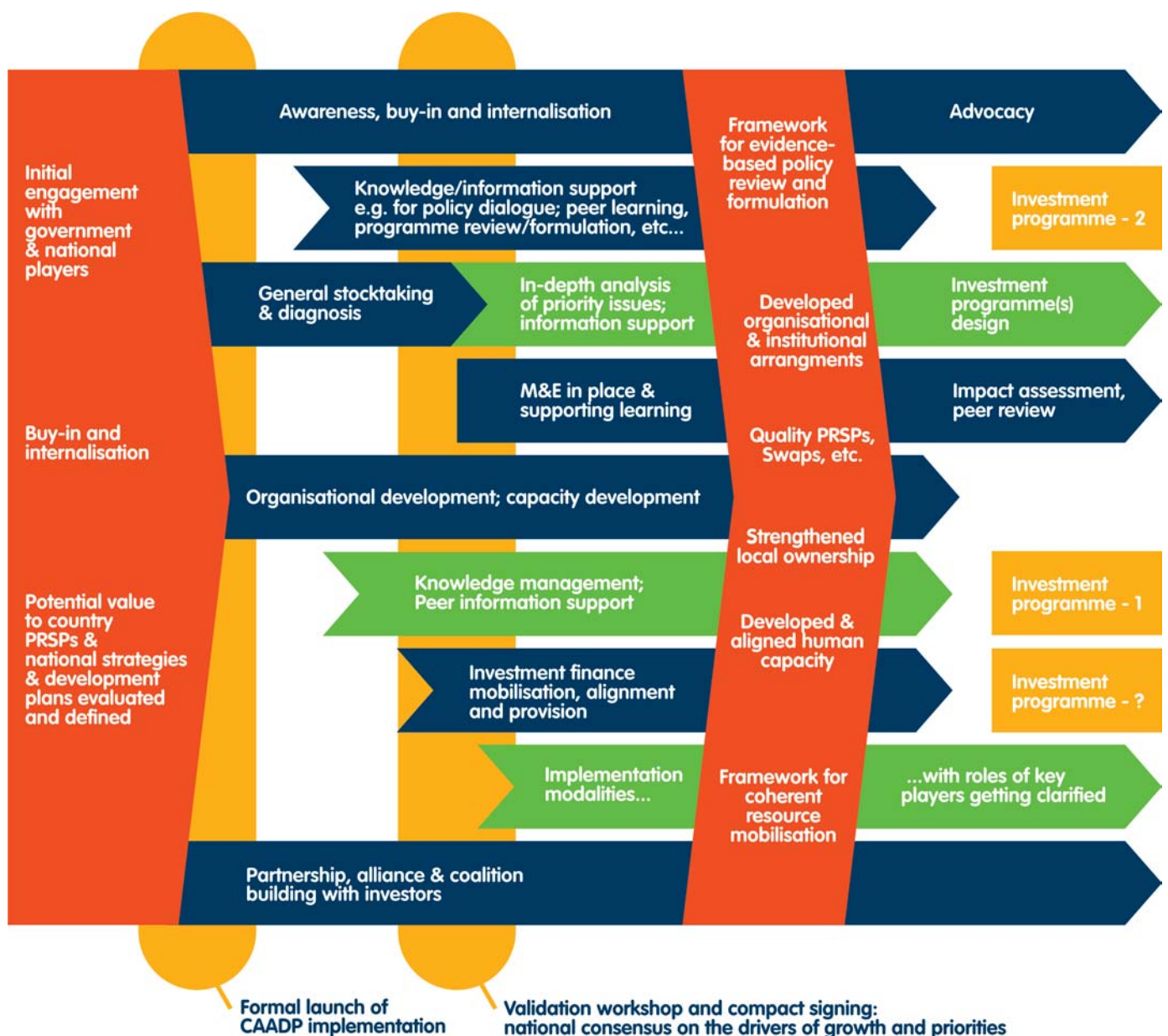
- Government internalisation and buy-in. This is essential as many of the subsequent CAADP implementation aspects depend on relevant reforms in public sector institutions and organisational arrangements. Government is also a key player in providing leadership as well as in its responsibilities on policy formulation and management. At this initial stage, it should be clear, with growing consensus, the potential value addition a country will realise from embracing the CAADP agenda. In formal processes, the ideal outcomes are that:
 - the decision on CAADP implementation (endorsed by Heads of State and governments at the AU summit) is

discussed by parliament and formally internalised as part of government policy and that responsibility to provide an inclusive environment for CAADP implementation is accepted; and

- the country enables and facilitates expert support to consider the country implications and requirements for CAADP implementation, including a technical review and assessment of the value addition to on-going strategies, and national programmes.
- With growing clarity on CAADP and its value addition, inclusive national debate and dialogue is useful in enabling a country to internalise commitment and responsibility to drive the CAADP agenda, and hence national development along what should be evolving as a common vision on agriculture and rural development.

The **awareness and internalisation** exercise/process is one of the key on-going features in CAADP implementation. This

Figure 4. Taking a 'bird's-eye view' of CAADP implementation



also links to on-going deepening of ownership and local responsibility as well as related social/peer learning and knowledge management. Initial **stocktaking and diagnosis work** is central to enabling national level consensus on the status of some key development parameters including a common understanding and agreement on priorities. Therefore, it is important to ensure that this stocktaking and diagnostic exercise is not an isolated undertaking that is externally driven, or handled by consultants with minimal responsibility for the outcomes. The stocktaking and diagnostic exercise forms part of what evolves into a self-motivated, self-sustaining process for evaluating and assessing progress, developing a mutual perspective and **building and strengthening partnerships**. Linking to organisational review and development, these aspects should also stimulate and facilitate fundamental organisational reforms and the development and alignment of expert capacity. **Policy dialogue and reforms** are an essential, inherent feature stimulated and supported by and through CAADP implementation.

Figure 4 also illustrates that engagement with the various aspects of CAADP implementation occurs in an overlapping fashion and is spread out in various combinations over time. Which aspects are undertaken at what stage and in which combinations is one of the key responsibilities in managing CAADP implementation in a country – a responsibility that falls within the role of the country CAADP teams.

The process has a number of marked events that also have value in public awareness and advocacy. Two key ones are:

- i. **The CAADP implementation launch:** This is a public demonstration of a collective, multi-partner commitment to engage with the CAADP agenda. It provides an opportunity for the stakeholders and general public to reflect on the value addition and benefits of CAADP, as well as on their own responsibilities for and commitments to driving and sustaining the agenda. This formal declaration of intent by government creates an opening for the introduction of checks-and-balances, as both public and other stakeholders can call government to account on this decision to implement the CAADP agenda.

As progress is made over time in CAADP implementation, events similar to the CAADP launch can be organised, but this time with a focus on joint review and peer assessment of progress.

- ii. **Validation workshop and compact signing:** Validation meetings and workshops will become a common feature in the CAADP implementation process, as a way of continually stimulating and facilitating common responsibility and ownership. This can be at sector, inter-sector, country, regional, local or national level, and can be disciplinary or issue based. However, one key workshop should underline collective and mutual responsibility at the early stages. Therefore, one of the validation workshops (for instance, one linked to validation of the results of the initial stocktaking and diagnosis) is also arranged to define a partnership with commitment from the various stakeholders to play their part in the common agenda along a common vision evolving as part of the dialogue and engagement through CAADP implementation. This is no different from what is generally undertaken as agreements between governments and national

players/partners including development partners. However, it should be expected that in this framework, the CAADP framework, the quality and clarity of commitments including modalities for follow up should be improved.

As mentioned earlier, implementing CAADP is a multi-dimensional, non-linear process with on-going feedback loops expected to deliver more and better as the process progresses.

2.5.2 How the pillar and other expertise come into this process

The core process is managed by the country teams who need to have good process management skills in order to pull in the right expertise at the right time and to manage political dependencies. Pillar expertise forms an input into this core process at various stages and follows demand articulated by the core process management/country teams.

The round table process should operate in an iterative process that allows knowledge and analytical work to progressively generate improved inputs and better outputs. There are however, four identified critical **Entry Points** for knowledge organisations (Pillar Institutions and their respective networks) to direct this value addition into the country Round Table Process. They include the following:

1. **Engagement with the government and stakeholders** at a point of influencing public debate in common country assessment and formulation of opinions on key constraints and challenges limiting agricultural growth and poverty reduction, and in identifying opportunities. This involves challenging, and strengthening the capacity of, country institutions (ministry of agriculture and farmer groups) to engage in public opinions and to bring in additional knowledge on emerging issues that may not be in the domain of those in the debate. It also needs to empower civil society and the private sector to lobby for and share accountability in generating creative reflection and consensus on national policies, investment, partnerships and processes required to influence decisions that result in increasing public expenditure investment for Agriculture to at least 10%, and in advancing progress towards 6% annual growth;
2. **In evidence based analysis - specialised analytical work to deepen and broaden the thinking and the analysis** during the pre-compact phase; to generate and make available tools and methodological guides to facilitate specialised/priority working groups to improve skills and strategies for better programme design. This approach would lead to more effective analysis of historical and current data, better identification of priority issues, gaps, causes, threats, opportunities, facilitate the generation of quality policy briefs, and build synergies and complementarities between sectors, key actors and stakeholders. It would also allow for better reviews of ongoing investment programmes; PRSP/NDP/SAWPs and sector specific strategies including donor initiated projects/programmes and bilateral agreements;



Fruit vendor in Ethiopia (c) Manoocher Deghati/IRIN

3. **In evidence based analysis - assisting priority working groups to analyse information, bring in new ideas and options, and support design of improved and/or new investment programmes** that address country context needs in the short, medium and long term. They can also assist in catering for the special needs of vulnerable groups. A key role would involve assisting stakeholders in prioritising interventions and their budgetary implications in order to achieve the best returns on investment plans, and to facilitate alignment of these programmes with CAAPD values and frameworks. A critical outcome is to establish co-operative linkages between the ministry of agriculture and other complementary sectors and ministries for the purposes of aligning policies and budget negotiation/allocation;
4. **In assessment and learning from process and practice – M&E, Shared learning, Reviews and Knowledge management** during monitoring and on-going support for policy analysis and programme implementation. Knowledge organisations can assist with M&E system design and improvement; sharing the lessons learnt from other country roundtable processes; ongoing support in the review of country agriculture development performance; reporting and synthesis; capacity development and scaling up the supply of expert support; collation and sharing of updates on new issues; and the dissemination of global science and technology innovations.

The details of engagement of knowledge organisations and pillar institutions is described in a separate document which describes how the networks of expertise operate and what the roles of the lead organisations should be.

3

Who does what? Institutional arrangements for the CAADP country implementation process

This chapter describes the roles and responsibilities of the core institutions mandated to facilitate the implementation of the CAADP country processes and regional efforts and initiatives. The chapter focuses specifically on the roles and responsibilities of the AU and related institutions in supporting countries to take up CAADP framework elements in the planning, design, implementation and evaluation of agriculture investment programmes.

3.1

Which are the key institutions supporting CAADP implementation?

The CAADP process includes many actors who share responsibilities in managing and facilitating the process. We differentiate between two different categories of actors:

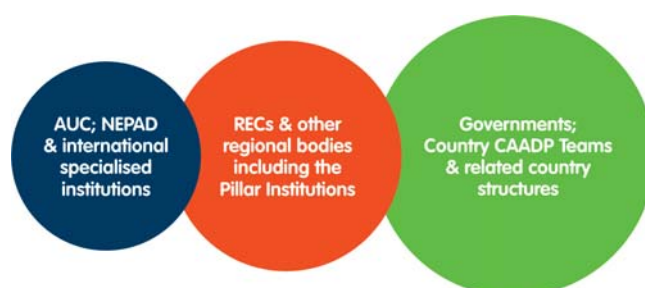
1. **Institutions with specific roles and responsibilities in facilitating CAADP implementation.** These institutions form the core implementation group that facilitates and manages the process:
 - a. national governments with their support institutions (which may not necessarily be public sector), with the country CAADP team as the main driver;
 - b. Regional Economic Communities (RECs);
 - c. NEPAD;
 - d. the African Union Commission; and
 - e. Pillar Lead Institutions.
2. **Specialised support institutions who nurture the process with expert knowledge and experience.** These institutions have either been established (in the case of ReSAKKS) or mandated to support country and regional players in integrating the CAADP principles, values and tools into their agriculture development strategies and programmes.
 - a. the Regional Strategic Analysis and Knowledge Support System (ReSAKSS) and its respective country nodes;
 - b. international institutions tasked with specialised responsibilities to directly support the implementation of CAADP, e.g. the International Food Policy Research Institute (IFPRI). IFPRI's main responsibilities are related to the support of specialised food and economic analytical work, with a focus on modelling;
 - c. AU-IBAR (on livestock and the pastoralist sub-sector); and
 - d. other institutions which are brought in on demand.

3.2

How do these institutions work together for a concerted CAADP support?

The fundamental principle governing roles and responsibilities on CAADP implementation is **subsidiarity**. All mandated institutions function as a network with an emphasis on synergies and complementarities. The boundaries and mandates are fluid and task-oriented rather than cemented into fixed structures. For true success, these institutions need to see themselves as a team with diverse strengths to be utilised flexibly. Therefore, the clarification of roles and responsibilities is evolving and may change over time and in different countries and regions, according to who is best placed to do the work. The network involving the above institutions needs to operate as **a single African extended capacity** for supporting the implementation of the CAADP agenda (see Figure 5 below) within and across all the levels (vertically as well as horizontally). It is an open system focusing on performance while managing politics.

Figure 5. Expanded and integrated structure for Africa's capacity supporting CAADP implementation



The linkages and interdependences of these institutions are critical in collectively supporting the CAADP agenda, with each institution providing unique value to the whole in an integrated way. The arrangement and functioning of the core CAADP institutions is not a given, but needs to be developed and nurtured as an on-going capacity development process. Ultimately, it is about building Africa's capacities and systems to support changes in the way of doing business for enhanced and sustainable agricultural productivity.

This institutional arrangement needs to be guided by strong principles and values driving performance and relationships among the CAADP actors. These are:

- **Subsidiarity:** Decision-making authority should reside at the lowest possible level – i.e. among country stakeholders for the actual design of the CAADP investment programme – with higher level actors providing support and guidance and intervening on regional and continental matters. This implies leveraging synergies and complementarities within and across levels (from country to continental levels).

- **Efficiency and effectiveness:** Each actor's role should be clearly specified, and carried out with the minimum possible level of overhead/administrative costs.
- **Building on strong and effective institutions:** CAADP implementation begins by acknowledging the current level of capacity of the various actors, and seeks to strengthen that capacity where necessary so that each can contribute fully and effectively. It is not about substituting capacity through consultancies, but developing the institutions' capacities to manage their affairs better.
- **Emphasis on performance orientation** rather than political considerations.
- **Commitment to learning and continual performance improvement:** Implicit in the CAADP process is a realignment of responsibilities among various actors for planning and executing national agricultural development strategies. It will take time for this process to unfold, and it will be facilitated if all actors are willing to reflect on what is working and how to improve performance. Mainstreaming monitoring and evaluation practices at all levels will help in this regard.

3.3

What are the detailed roles and responsibilities for each of the core institutions?

Figures 6 and 7 summarise the main responsibilities and relationships among the various actors involved in CAADP implementation. Figure 6 emphasises the main levels at which each actor engages in the process (the subsidiarity principle), while Figure 7 provides additional detail about each actor's role.

We are aware that the CAADP context is a political arena with many sensitivities and pitfalls. However, its aim is to create a less political and more performance-based system which is fluid and focused on the 'what' and 'how', rather than on the 'who'.

Figure 6. Responsibility of CAADP actor with emphasis on subsidiarity of roles

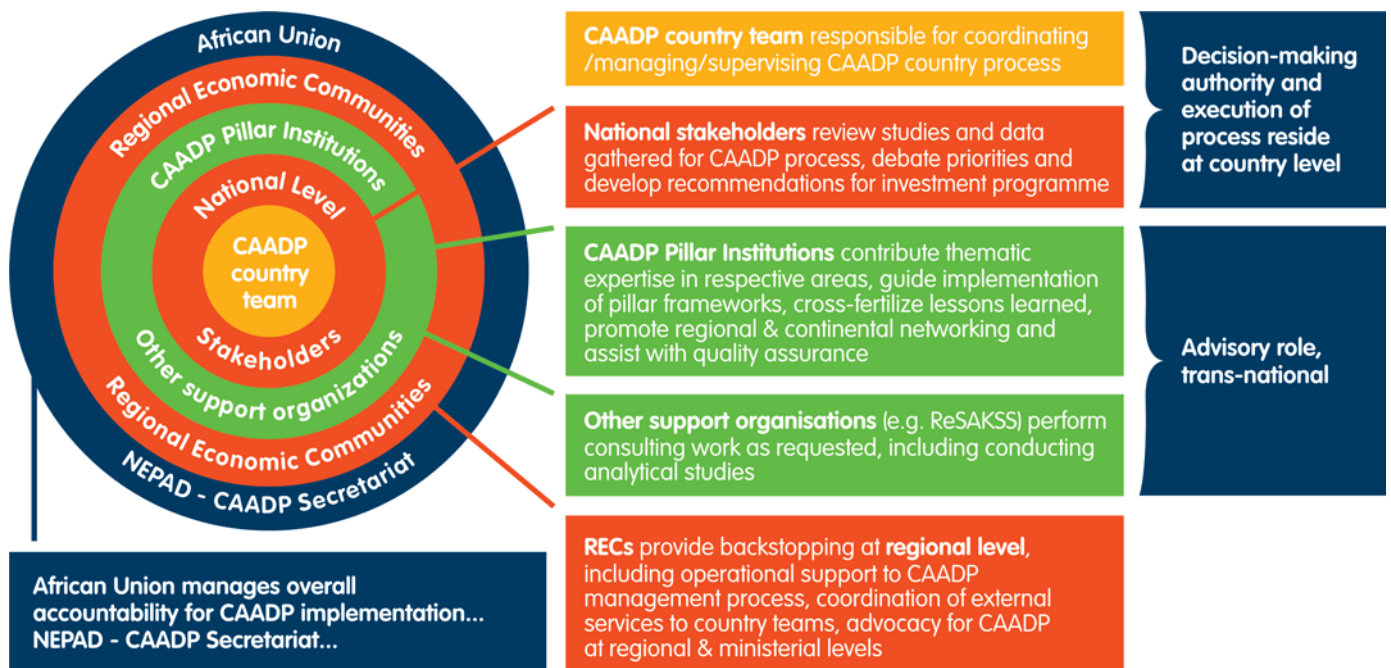


Figure 7. Roles of institutional actors in CAADP implementation



Looking at the CAADP implementation process overall, there are three levels of intervention or categories of activity:

- implementation teams at country level;
- a core implementation team consisting of NEPAD, the Regional Economic Communities, and pillar institutions that backstop the management functions of the CAADP country teams, as well as executing CAADP activities at the regional and continental levels. The CAADP Resource Group is the mechanism through which this team supports the country teams; and
- networks of expertise to provide technical expertise and know-how related to the CAADP pillars.

As indicated in Figures 6 and 7, the primary responsibility for investment programme design and implementation is at the country level. Other key players include the Pillar Lead Institutions, the Regional Economic Communities, the NEPAD Secretariat and the African Union Commission (AUC). These organisations have mandated responsibilities vis-à-vis CAADP implementation. Generally, their role is to complement the work done at the country level, foster synergies across countries, and provide political and technical leadership to

stimulate and facilitate CAADP implementation. Each of these teams and their competencies are described in detail below.

3.3.1 Roles and responsibilities of the CAADP country implementation teams

The CAADP country implementation team is the heart of the whole country process, as the central driver and manager of the core CAADP implementation process. The team plays a coordinating and facilitative role, drawing on a variety of sources to provide technical and political support as needed. The country team's authority is based on the government's leadership responsibility. Given the importance of its role, the country team must have and be seen to have firm backing from the highest levels of government (for example, via an official delegation of authority from the relevant senior government structure). It will ideally consist of middle to higher level staff from the ministry of agriculture, other ministries, the private sector, farmer organisations, NGOs and other committed actors, forming an effective coalition to make CAADP move forward. The team should be rather small (5–8

members) and is not intended to be a permanent structure — much less a parallel government body. The important objective is to fulfil the group's functions, and, in many countries, there are potential existing structures that can take these on.

Indeed, wherever possible, one should aim to build on existing structures (e.g. in some countries this may be an agricultural sector coordination unit).

The principal responsibility of the CAADP country team is the management of the implementation process, which involves:

- **Promoting CAADP and facilitating CAADP and agricultural sector related awareness, advocacy and training** for a better internalisation of the agenda and commitment of actors at the country level. One of the most difficult aspects of the process is the facilitation of continued political support and engagement right from the start.
- **Designing the CAADP process and road map in the country in a strategic way.** This includes facilitation of consultations and negotiations with related partners and stakeholders, the development of a work programme and action plan that lays out the structure and flow of the country CAADP implementation process (sequencing of events, stages, steps, etc.). The process design is based on the CAADP process framework with its four components which is contextualised and prioritised in the given country context and local circumstances.
- **Organising and facilitating diagnostic/analytical work.** This includes collecting and assembling relevant information for the CAADP diagnostic work, such as a list of relevant past and present interventions, identifying and recruiting consultants to undertake required studies, and approving consultants' outputs and aggregating and disseminating findings so that they can inform the prioritisation process.
- **Organising and facilitating an inclusive country process on priority setting** of investment options and strategies, catalysing buy-in and internalisation among actors and ensuring alignment with national development systems, strategies and programmes including the PRSP, SWAPs, etc.)
- **Managing the work programme** and contributions of other actors, including organising and sequencing the components of the CAADP implementation process, e.g. organising for partnership development and coalition building and provision of capacity building for selected key institutions.
- **Stimulating and facilitating the engagement and involvement of various partners and stakeholders** including development partners, key institutions, civil society organisations, public–private bodies etc. based on agreed common vision, collective responsibilities and mutual collaboration where 'everyone is a winner'.
- **Coordinating and facilitating interaction and collaboration between the regional level and actors,** (RECs, pillar institutions, etc.) and continental actors (AUC, NEPAD, etc.) and the country processes, including ensuring that country needs (demand) are expressed and accordingly linked to relevant support options from the regional and continental support institutions (e.g. preparing and managing support on analytical work, ensuring terms of reference are prepared and agreed by all concerned, and managing the service providers/consultants).
- **Facilitating and coordinating CAADP related knowledge management operations** including progress monitoring

based on indicators and benchmarks, peer review, self-evaluation and learning, and integrating feedback into the action plan design and implementation process.

Although the team is led by the country CAADP focal point, this task requires a team spirit and a level of influence which one person alone cannot provide. In terms of the necessary skills or competencies, the most important requirement for this group is **process management capacity** – the ability to strategically design and steer different activities to come together as a whole with the full support of all actors. Process management is a complex and challenging task. The efficiency of a process and the quality of its outputs are directly related to the way it has been managed. Therefore, the country team needs to strategise well together and know the system it wants to influence.

The country team needs to be able to manage implementation of the sequence of the process steps. They need to reach the benchmarks, pull in the right inputs (e.g. from pillars and others) at the right time, manage the inclusiveness of the process, manage communication with the actors, facilitate stakeholder meetings, and, ultimately, integrate all the various process components into a final investment programme. It also needs to be able to strategise about how to influence the various actors and agendas, and ensure commitment and support to the process from high level and political stakeholders.

3.3.2 Roles and responsibilities of the Regional Economic Communities

The RECs are the operational arms of the African Union in the regions. Within the CAADP framework, the RECs were mandated to facilitate the country processes and the regional processes at an early stage. Several RECs have stood centre stage in designing the country roundtable processes so far and have been instrumental in moving the CAADP agenda forward.

In the spirit of the expanded CAADP team across AU-NEPAD-RECs, the main roles and responsibilities of the RECs in the CAADP country processes are:

- Lobbying and advocacy for the **CAADP** agenda at country, regional and continental levels.
- Initiating the **CAADP** process with ministries, providing access to the ministerial level and facilitating the establishment of country teams and a formal structure (MoU).
- Coordinating external support for country processes, and developing the country team's capacity to manage the process.
- Facilitating links and sharing experience with other teams to enhance the competence of the process design.
- Driving the **CAADP** agenda at the regional level (mainly the transboundary priorities), and supporting countries to come up with regional priorities.
- Coordinating and participating in **M&E** and peer reviews of the member countries.
- Assisting with resource mobilisation for the process at national and regional levels.
- Mobilising think tanks on emerging issues.

The capacity of the RECs for CAADP facilitation varies from region to region. Some have developed specialised knowledge and are well placed, while others have put less emphasis on CAADP. Developing the capacity of the RECs to be effective facilitators is still an ongoing process.

3.3.3 Roles and responsibilities of NEPAD

The agricultural unit of the NEPAD Secretariat has redefined its role in the CAADP process at all levels in its strategic plan in 2008. Its role is defined through five core functions, along which the organisational operations are also structured. The functions are:

1. **Partnerships and coalition building to link resources with agriculture investment programmes.** This involves mainly: a) stakeholder/partnership mapping and the identification of resource needs and opportunities, b) partnership engagement and support, and c) dissemination and support for the internalisation of CAADP into partner strategies.
2. **Managing the quality of CAADP implementation at regional and national levels.** This involves mainly: a) facilitation of consensus building and the development of quality roundtable process architecture and pillar framework development, b) technical backstopping at regional and national levels as needed, and c) facilitation of progress tracking at national and regional levels.
3. **Monitoring and assessing the impact of CAADP.** This involves mainly: a) input into the design and mobilisation of support to assist in the development of CAADP M&E systems, b) convening and managing learning events and experience sharing, and c) on-going reporting and tracking of progress on CAADP growth and development targets.
4. **Managing communication and information to support CAADP implementation and partnership building.** This involves mainly: a) the development of communication packages, b) managing and maintaining networks, and c) reporting, collating and synthesising CAADP activities.
5. **Reviewing, synthesising and harnessing key thinking and experiences on African agricultural issues for the strategic guidance of African perspectives on the key issues.** This involves mainly: a) strategic analysis and identifying emerging issues, b) producing position papers and policy guidelines to influence support for CAADP implementation, and c) stimulating discussions through sharing information and soliciting responses and perspectives on pertinent CAADP issues.

Within the frame of its overall guiding function in the whole CAADP process, the Secretariat takes the following specific responsibilities in the country processes.

- Overall responsibility for the quality of CAADP implementation, including quality assurance and strengthening implementation processes (e.g. documenting and systematising promising practices in implementation, and coordinating capacity building for successful process implementation).
- Providing technical backstopping for RECs and country teams – in the spirit of the expanded CAADP teams across all levels.
- Providing continental-level information and mutual learning and sharing across countries.
- Facilitating partnerships at the continental level, including

fostering inter-pillar integration for concerted support of the country processes.

- Lobbying for and creating the political space for the country teams through following up government commitments made to CAADP.
- Advocacy for resource mobilisation, including enabling countries to access the Multi Donor Trust Fund (MDTF).
- Monitoring and evaluation of the continental Africa peer review mechanism.

NEPAD itself does not implement the country processes, but supports the whole chain of actors involved and assures that progress is made.

3.3.4 Roles and responsibilities of the African Union Commission (AUC)

The Department of Rural Economy in the African Union Commission is the political umbrella under which CAADP is being implemented. The AUC does not have a direct implementation function, but does play an extremely important role in creating space and an enabling environment. The specific roles and responsibilities of the AUC in the CAADP process are:

- **Lobbying and advocacy**, especially to attract international institutions to align and engage with CAADP.
- **Supporting and facilitating the mobilisation of investment financing** and other resource support for CAADP implementation.
- **Coordinating and managing information** support to AU ministerial and Head of State government institutions and organs.
- **Coordinating African agriculture strategy development** – also between AUC and NEPAD.
- **Participating in the management of the peer review process** (especially with regard to managing and processing feedback into political/decision making systems).

With regard to the CAADP country implementation, AUC has a supportive role through its political umbrella and its direct influence on the RECs.

3.3.5 Roles and responsibilities of the Pillar Lead Institutions and their networks of expertise

The CAADP framework identified four core issues in the continent's agricultural agenda. These four priority aspects, referred to as the CAADP pillars, are mutually supportive and are expected to integrate to form a comprehensive and holistic understanding of problems and opportunities, leading to systemic solutions. The four pillars and the principal issues covered under each one are given in Appendix 3 along with identification of the respective 'Pillar Lead Institutions' (the organisations or networks of expertise responsible for helping implement each of the pillars).

The CAADP pillars have also been used to harness analytical competencies and knowledge to support and facilitate a key aspect of the CAADP framework – evidence and outcome

based planning and implementation. The four CAADP pillars have themselves been translated into frameworks, and the respective framework documents represent important complements to this guide.³

The pillar framework documents are designed to provide general tools to guide the adaptation of the CAADP principles, values and targets into national and regional development strategies and plans. The frameworks are NOT a set of instructions or do-it-yourself manuals, but rather checklists meant to stimulate questioning and thinking to foster adoption of the NEPAD/CAADP principles, values and targets, specifically:

- ensuring that identified investment programmes actually represent:
 - **best practice/s** (technically) in the circumstances and on subject matter/issues most able to make the desired impact on the development agenda, and
 - **feasible and viable interventions** with potential for the best use of the funds (potential for the highest returns on investment);
- providing for desired institutional reforms and capacity building, including building coalitions and partnerships and entrenching the values of transparency, accountability and shared commitment to the growth agenda;
- providing for the desired policy assessment, transformation and on-going revision;
- pursuing integrated and holistic approaches, including inter-sector collaboration, entrepreneurship development, greater market access and private sector engagement;
- facilitating greater in-country alignment and harmonisation of development efforts and support for country engagement in the regional development agenda; and
- facilitating peer learning and review, including support for strategic thinking and analysis with information and knowledge mainstreamed as key development factors.

Key components include guidelines and checklists for:

- developing an overall vision and direction in agricultural productivity interventions, aligned with the CAADP vision;
- stakeholder analysis and policy analysis (score cards for effectiveness towards growth);
- stocktaking and baseline analytical work, including public expenditure review and diagnosis, as well as technical, ecosystems, economic, policy, and institutional analyses (as described in Chapter 2);
- assessing choice options (lessons/practices, exposure to options, adaptations);
- monitoring and evaluation and peer review (including evaluation criteria);
- knowledge/information sharing;
- partnership and coalition building/strengthening and capacity building; and
- advocacy for greater political and financial support.

As indicated above, the Pillar Lead Institutions have been mandated to develop and help implement the four pillar frameworks. Although specific organisations were initially identified as pillar institutions and mandated to develop the pillar framework in a consultative process, their role has now

changed. In the context of country implementation, a broader network of expertise is required to satisfy the capacity required in the respective areas. The Pillar Lead Institutions now actually convene networks of experts in pillar areas who are available to assist countries in CAADP implementation. The Pillar Lead Institutions are 'grooming' these experts so that they can support countries with coherent knowledge along the lines of the conceptual pillar frameworks. This arrangement will enable country and regional development efforts to gain direct and on-going access to and be informed by expert knowledge and information, including expertise available in specialised knowledge institutions.

The specific roles and responsibilities of the specialised pillar institutions and their networks of expertise include:

- **Providing technical expertise and backstopping to regional and national level CAADP implementation processes** including analytical work/skills, (new) knowledge and information and data for evidence-based assessment of options.
- **Providing operational backstopping** by linking country initiatives to expertise on institutional reform and change management, and serving as a source for capacity building if necessary.
- **Providing advice on options** and some of the possible activities (strategies) that can be integrated into the investment programmes to address specific pillar bottlenecks.
- **Organising and nurturing networks of pillar institutions and experts/specialists**, including forming and coordinating multi-disciplinary teams to support countries.
- **Acting as resource centres**, keeping countries apprised of information and the latest research relevant for CAADP implementation.
- **Participating in M&E processes** (including the design of the M&E system) and peer reviews.

3.4

The role of specialised knowledge institutions and service providers in supporting the country teams

Specialised knowledge centres and think-tank institutions have a critical role in supporting informed decision-making, evidence based diagnosis and planning and programme design and implementation in the CAADP country process.

This category of institutions is included here because of its potential role for developing competencies in analytical work, and information and knowledge generation, including research undertakings. Some lead institutions in this group include the Regional Strategic Analysis and Knowledge Support System (ReSAKSS) as well as national agriculture research institutes/centres, local and international universities, the CGIAR centres and the sub-regional agriculture research organisations (SROs). This group also includes the technical AU-affiliated institutions, AU-IBAR and SAFGRAD. Institutions

³ See Appendix 3 for more information about the CAADP pillars and links to the respective framework documents.

like these are regarded as knowledge centres that work in liaison with CAADP pillar institutions, and would backstop CAADP country processes in cases where their area of expertise emerges from the analysis as a priority issue.

Through direct engagement and collaboration or partnership agreements, the support of specialised institutions for CAADP implementation is expected to grow at various levels, i.e. from community based activities to continental engagement through expert backstopping support on technical issues and analytical methodologies for the design and implementation of investment programmes. This process is expected to embrace support for systemic capacity building within local institutions.

Through the CAADP country teams or through the RECs and/or NEPAD, it is expected that all sides will continue to stimulate and support collaboration among the various institutions involved in promoting CA in the region.

Some specific roles and responsibilities for these institutions include:

- Providing expert input to support the organisation and facilitation of knowledge management elements of the country and regional CAADP implementation processes (evidence based analysis and planning).
- Supporting the analytical work and diagnostic studies in CAADP implementation (this aspect is expected to progress more towards capacity development and nurturing functions than actual analytical work, as is the case at this stage).
- Creating a coherent M&E system across all CAADP implementing countries.
- Identifying and developing policy dialogue and support information in a form accessible by policy makers.

ReSAKSS has its main role is in the evidence based planning stage of the CAADP country process, where it is the major provider of modelling services to identify good investment options. Its studies are also the basis for a policy dialogue from within and for fostering policy change.



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4

Capacities and support mechanisms for CAADP implementation

4.1

Developing and sustaining/nurturing capacities for CAADP implementation

Defining institutional arrangements and the roles and responsibilities of organisations at the different levels is one side of the coin. On the other side, the capacities required to implement functions and fulfil the various roles are central to making CAADP processes work. Capacity in this context means the competence to implement processes effectively – leading to concrete results and impacts.

Most of the work carried out in CAADP processes is different from a conventional way of dealing with the issues. Therefore, we cannot assume that everyone involved will automatically be best capable to implement these 'business unusual approaches'. Nor will it be possible to get it right after one training session or exposure. We are dealing with new systems and processes and thus we require learning processes for teams at different levels who implement and learn from their successes and failures and try to improve the processes on the basis of their own learning.

4.1.1 What competencies are required?

Considering the institutional arrangement and functions above, the first and foremost competence of this expanded CAADP 'team' is to work as a team across the levels and mandates with a collective responsibility for success. Breaking institutional boundaries and mandates for the sake of a common goal and task is a condition for success. The team needs to be able to manage and oversee CAADP country processes in different countries and RECs, monitor and analyse processes, learn lessons and design improved processes continuously. The team needs to be able to ensure quality of the country processes which requires the competencies of advising, coaching, facilitating and strategic planning etc. Process management skills are required to ensure coherence and the integration of the contributions of different actors and the pillars. The capacity to flexibly strategise together with the country teams in order to influence the settings in difficult situations is key, as is communicating and reporting strategically.

At the country/national level, the key competence required for CAADP implementation is the process management capacity of the country teams. As a semi-

political, multi stakeholder process, CAADP implementation requires a highly sensitive and inclusive management of the process steps in order to obtain broad based acceptance and compelling support from all the key players. Such process management requires:

- A deep understanding and interpretation of the CAADP framework and principles and the country context of investment programme design, implementation and review over the past few decades. This also includes a grasp of the history of 'where it all comes from' and why things have worked or failed. Otherwise, the risk is always that one re-invents the wheel.
- An ability to understand and work within institutional frameworks and their dynamics and manage change processes in that context – from grassroots to Head of State level.
- An ability to create, facilitate and manage partnerships and alliances across unequal and diverse partners for a common purpose. This requires excellent facilitation and negotiation skills and the ability to empathise in institutional thinking and culture.
- An ability to think strategically and to strategise together in teams in order to make the change and influence required. Building on this, the whole arena for strategic planning and programme design needs to be well mastered.
- The capacity for advocacy for CAADP and reform within constituents, and communication inside and outside these constituents in a way which energises and motivates the actors to join hands.
- An ability to design and manage multi-stakeholder processes in an efficient and effective way and so lead the CAADP implementation process effectively.
- A deep technical understanding of the issues and innovative ways of doing business so that shallow thinking and 'more of the same' can be challenged and new thinking can have space.
- Excellent information gathering skills and knowledge management skills and approaches. This includes also the 'know who' in terms of people and institutions who can support the CAADP process with technical and political knowledge and develop networks of influence effectively.
- And many other abilities and skills which are part and parcel of a learning process.

The competence of the country teams is probably the most challenging as the success of CAADP implementation depends heavily on the quality and efficiency of the process. Good process management will automatically avoid the feeling of 'talking shop' without a clear end and 'imposition from the top-down'. Process efficiency and quality are key criteria for measuring the performance of the teams.

At the REC level there are capacities which relate to the effectiveness and efficiency of the RECs as organisations themselves and the capacity to provide the services which they are required to deliver for the countries and at a continental level. As the RECs are not the direct implementers in the countries, but supporters of the CAADP country teams, their role is more to support through training, coaching and backstopping. These in themselves are critical skills which are not mainstream knowledge and are rare in a technology dominated arena; here, coaching and organisational development skills are rarely seen as professions with their own principles and approaches. Some key competences are:

- A deep understanding and interpretation of the CAADP framework and principles and the country context of investment programme design, implementation and review over the past few decades.
- An ability to design, facilitate and manage effective coaching and training processes leading to change.
- An excellent understanding and facilitation of strategic thinking and planning processes and process design and management.
- An ability to design and facilitate interesting communication platforms at different levels and develop networks, alliances and partnerships across all levels.
- An ability to design and facilitate effective peer learning and peer review systems – including sharing across countries, etc. – to continuously improve delivery and performance.
- An ability to engage political actors effectively in the process (e.g. parliamentarians, ministers, ministerial committees, etc.) and advocate and lobby for the CAADP agenda.

At the NEPAD/continental level, the NEPAD Secretariat agricultural group with its overall coordination and quality management function for the CAADP country process requires a broad set of capacities:

- A deep understanding and interpretation of the CAADP framework and principles and the country context of investment programme design, implementation and review over the past few decades.
- The capacity to coordinate a multitude of actors towards a coherent approach and communication of CAADP at different levels and across actors. This requires an excellent overview, and the networking and facilitation capacity to bring actors to agreement on joint frameworks, approaches, methodologies and learning.
- An excellent ability to facilitate strategic thinking and planning processes, lesson learning and conceptualisation of processes and institutional arrangements at different levels.
- An ability to nurture the capacity of RECs, pillar networks etc. through strategic design and management of broad competence and awareness development programmes.
- An ability to manage and nurture knowledge on CAADP processes for quality implementation and performance enhancement and to incorporate the lessons learned back into the different country processes and RECs through the design of effective sharing mechanisms and coaching.
- An ability to design and implement excellent, strategic communication initiatives for advocacy and lobbying, including the production of appealing materials and media work.
- Networking, partnership and platform development skills, including managing the contacts and databases 'intelligence' on CAADP actors and initiatives. NEPAD should be able to act as an information hub on CAADP for all actors.
- An ability to design and facilitate effective impact assessment and tracking schemes as well as peer learning and peer review systems to continuously improve delivery and performance.
- An ability to engage political actors effectively in the process (e.g. parliamentarians, ministers, ministerial committees etc.) and advocate and lobby for the CAADP agenda at all levels.

- An ability to manage effectively, relations with supporters and investors and development partners for resource mobilisation.

4.1.2 How are these capacities developed and nurtured? The CAADP Resource Group

The institutional arrangements and associated roles and responsibilities and capacity requirements have been described above. They are a major change from the ones designed at the beginning of the country roundtable processes in 2005 in terms of:

- the country structures for CAADP implementation (country teams instead of one focal point); and
- the support structures (a joint responsibility of the 'expanded team' rather than just one institution to facilitate the process in the most effective and efficient way).

Therefore, the new setting needs to be strongly developed and nurtured to become fully operational and effective. In practice, many of the practical modalities and implementation details need to be worked out in detail for the process as a whole to become more effective and efficient. The capacities at the different levels need to be enhanced 'on the job' and in an iterative way with the players in order to reach a functioning system which can really perform. So, in brief, one can say that the foundation for a far more effective CAADP process has been laid, but the practical functioning and making operational the institutional arrangement need to be 'groomed' in action.

In view of these challenges and in order to move the CAADP process forward in the countries, a **CAADP Resource Group** will be developed to support implementation and capacity development in the CAADP country process. This group will have a facilitative role and is responsible for developing and supporting the CAADP country implementation teams. It will develop the country teams' capacity and enable them to become effective CAADP implementation process managers.

The CAADP Resource Group will not be another institutional layer or an institution itself. It is structured like a flexible multi-institutional task force which supports all the institutions to fulfil their roles and perform better. Its roles and functions will be the one of the 'expanded team'. The support group will basically support all the actors in performing their roles and responsibilities better by working as a team. It will enable fast learning between the different efforts of the RECs and NEPAD, a better quality assurance and it will generate more reliability as the countries will be supported by small teams. If one member cannot perform the task as agreed, there are other members in the team who will still go ahead.

The CAADP Resource Group will be coordinated at NEPAD level and work very closely with the NEPAD Secretariat team. It will be composed of competent professionals who fully understand the CAADP country implementation process and are able to guide and lead CAADP implementation. In addition, they will fulfil a think tank function by continuously further developing and conceptualising the implementation process based on emerging experiences.

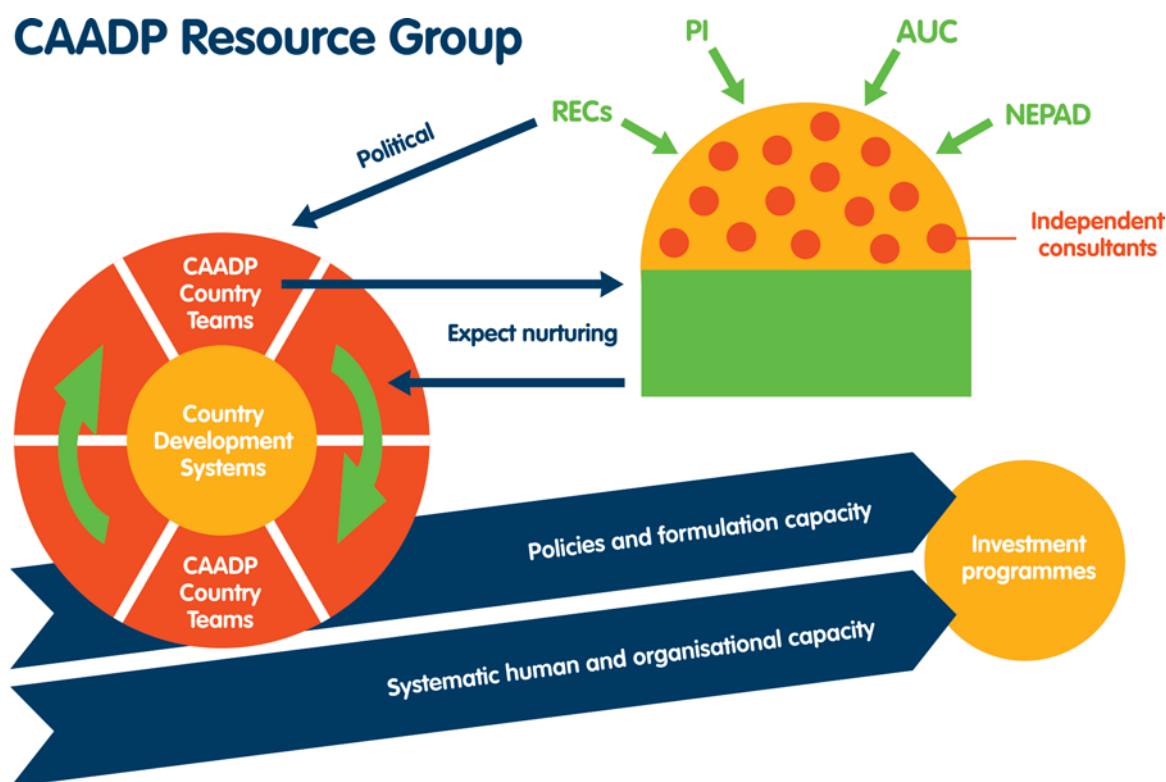
In terms of its composition, this group will not be selected purely on representation, but on performance and experience grounds. The team composition will be dynamic and flexible according to requirements. Junior staff will be based at the NEPAD Secretariat. The other members will be based in their respective offices, but will come together regularly to strategise and develop common approaches and perspectives and to learn from each others' experiences. It will include:

- core members of the **NEPAD Secretariat team**, responsible for the country process, including some junior staff to be groomed;
- one member of **AUC**, who is directly responsible for CAADP implementation;
- core staff from the **RECs**, who are directly responsible for CAADP country level implementation;
- one staff member of **each pillar** – directly responsible for country support and network building;
- around five **senior consultants** who can provide high quality support to the country processes; and
- three to five **professionals from countries** who have solid experience on the CAADP country process.

Within this CAADP Resource Group, small country support teams will be selected to support specific countries. These country support teams should be comprised of the REC staff who are responsible for facilitating the process in that country, one specialist or consultant who is concentrating on the process in this country and one junior person who follows up the day-to-day issues and communication with the in-country team. Each country support team will ensure that support for the country process, and capacity development within that country, is really progressing and that communication between the different entities is working effectively. They share responsibility with the country teams. Figure 8 depicts the relationships between the different entities.

This support structure - through the CAADP Resource Group and within the country support teams - will enable optimal support to the countries, independent of the capacity of one specific team member or institution. It allows flexibility and stepping out of the 'mandate trap' as it constitutes a multi-institutional team with joint responsibility for performance in the country implementation. It will also ensure coherent learning from the different experiences of the countries.

Figure 8. Supporting implementation and capacity development of the country teams through the CAADP Resource Group



The coordination at NEPAD level – which is the core function of NEPAD Agriculture Unit in its strategic plan – will ensure that the CAADP Resource Group has the capacity and common understanding, approaches and perspective to be effective and efficient. This coordination function is geared towards creating coherence between and among the CAADP Resource Group, the country support teams and the in-country implementation teams for an effective and efficient CAADP process across the levels and actors. It assumes a quality assurance role. The coordination of the CAADP Resource Group will be led by a person highly experienced in CAADP who will work hand in hand with the NEPAD Secretariat team and directly report to the leadership (Prof. Mkandawire and Martin Bwalya).

NEPAD will take leadership in bringing this CAADP Resource Group together and will organise regular learning sessions where experiences are shared, lessons are learnt and implementation is improved while developing further the conceptual base for the country processes. Making operational the CAADP process needs to be thought through in depth by the implementers.

The learning process will take place at different levels. Firstly, the regular face to face learning workshops will be held with greater intensity at the beginning, where we anticipate a quarterly meeting will be held so that the process gains momentum, the teams develop and mistakes can be quickly addressed. After approximately a year, experiences will be enough to widen the interval of the face to face meetings and make them bi-annual. For each of the workshops, progress will be analysed and bottlenecks will be worked on. Besides the team development and problem-solving mode, specific

conceptual topics will be dealt with in depth to advance understanding and conceptualisation of the CAADP process, building from practice.

The second level is a more regular exchange and involves joint strategising via teleconferences and video calls on a weekly and bi-weekly basis. NEPAD can set up cost-effective connections which enable a regular sharing and updating. This more informal connection is crucial for developing trust and eliminating misunderstandings at an early stage in an uncomplicated way.

Operational arrangements for the linkages between the NEPAD Secretariat, the REC teams and the other team members will be central for the teams to function effectively with the right spirit. A team spirit and team functioning, especially between NEPAD and the RECs, will be necessary for managing collective responsibilities and indeed succeeding in making a difference in the 'way business is done' in agriculture and rural development efforts. What is required at present is a spirit of 'make it work together', rather than endless discussions about subsidiarity.

Some of the critical factors for success are:

- an overarching responsibility at NEPAD for the joint workplan (road map) between RECs, NEPAD and pillar institutions through the CAADP Resource Group;
- regular interactions (e.g. teleconferences) to sort out issues, inform each other and hold each other accountable;
- a management, functional setting of the CAADP Resource Group (to make the process work);

- internal quality assurance and performance assessment;
- a coaching and supporting function to develop capacity at all levels; and
- recognising that the CAADP country roundtable process will vary in detail and character from country to country and should be continually refined based on emerging experiences.

In the new approach to capacity development, which is actually a systemic competence development approach, rather than just the provision of training – capacity development and implementation support become one process.

4.2

The CAADP Partnership Platform as a mechanism for peer review and engagement among the core CAADP support institutions and partners

In the previous chapter, the focus was on the implementing institutions and support arrangements. Equally important is engagement with global level supporters. The CAADP Partnership Platform, a continent-wide forum for policy dialogue and review, has been established and brings together the leadership of the African Union Commission, the NEPAD Secretariat, Regional Economic Communities, development partner agencies, the private sector and farmers' organisations twice a year. It provides a mechanism for improving the alignment and effectiveness of African and foreign partners with respect to the implementation of the CAADP agenda. In line with the Paris Declaration on Aid Effectiveness, the PP adds value to more effective delivery, against internationally set commitments by Heads of States, such as Maputo and Gleneagles.

The overall goal of the CAADP PP is to:

1. facilitate a mutual review of progress, performance and challenges within CAADP; and
2. create dialogue on implementation priorities and processes.

Specific objectives of the platform are:

- to facilitate a constructive dialogue and exchange among senior level representatives of African governments, development partners, the business sector, farmers' organisations, and civil society organisations (including professional associations) on CAADP implementation, as well as on the broader strategic issues facing the agricultural sector in Africa;
- to review lessons and good practices regarding the use of CAADP to support the identification, design, and implementation of national and regional policies and programmes and to explore ways of securing the widest possible buy-in for CAADP;

- to endorse Steering Committee members for the CAADP Multi-Donor Trust Fund (MDTF) as and when necessary;
- to take stock of the types of assistance provided and CAADP accomplishments achieved through the MDTF;
- to facilitate the coordination of assistance, with a view to avoiding duplication and creating synergies through the MDTF implementation;
- to advise on concrete actions and priorities that can, and need to, be taken as part of the implementation of CAADP at least until the next PP;
- to identify, when necessary, relevant activities, targets and indicators that a CAADP actor needs to take forward and report on in the ensuing PP meeting;
- to inform about development partner actions, options and commitments that are undertaken to support priority CAADP efforts and investments;
- to jointly review targets and priorities for each pillar and follow up actions taken to foster the mainstreaming of cross-cutting issues, such as climate change/environmental sustainability, gender and HIV/AIDS, with a view to assessing progress on a bi-annual basis; and
- to provide a forum for a mutual-review of progress in CAADP implementation based on the overall programme M&E indicators.

The CAADP PP is an informal forum and will have no legal identity. Outcomes and recommendations, which are expected to be reached through consensus, are voluntary and not legally binding. Notwithstanding, members will endeavour to abide by any commitments made, including policy, technical, and financial support. The present terms of reference for the CAADP PP will be reviewed periodically and are expected to evolve over time.

The organisation and management responsibilities of the CAADP PP are shared between three of the AU institutions coordinating and overseeing CAADP implementation (namely the Africa Union Commission (AUC), the NEPAD Secretariat, and RECs), on the one hand; and GDPRD on the other. While AUC, NEPAD and RECs are represented by the Department for Rural Economy and Agriculture (AUC), the Agriculture/CAADP Unit (NEPAD Secretariat), and agricultural departments (RECs), the Secretariat of GDPRD serves as a focal point for its membership.

CAADP PP is thus a key forum at senior level, to facilitate alignment behind the CAADP agenda, foster aid effectiveness in agriculture, and facilitate collective action on identified priorities in order to meet MDG 1 and other internationally agreed targets.

Donor engagement and alignment at country level

In practical terms, for the CAADP country processes, dialogue with partners and investors in the countries is very important. The consensus towards alignment of donors, which is fostered by the aid effectiveness debate, needs to be implemented at country levels through donor platforms around investment programmes. The active engagement of donors and investors in the process phase 'Building partnerships and alliances with investors' (see Chapter 2), creates fora for the alignment of donors around the CAADP process. Ultimately donors should make the CAADP process, with its analytical work and quality assurance in investment programmes, a condition for funding – a kind of 'certification' process. The

CAADP PP provides a platform to bring to the attention of donor agencies the challenges faced at country level.

4.3

The Africa Forum

While the CAADP PP provides a forum for sharing and reviewing the overall CAADP implementation, it does not touch on technical or thematic issues around agricultural development per se. Instead, the Africa Forum takes on this more technical role.

As an annual platform of exchange, the CAADP Africa Forum enables stakeholders in African agriculture:

1. to exchange and learn about best practices in agriculture and rural development; and
2. to inform country processes in relation to CAADP implementation.

As a platform for exchange and peer-learning, the forum will help to not only consolidate, but also to stimulate country action because, even if peer learning is what is aimed for, a certain amount of (self-imposed) peer pressure will inevitably be evoked when people meet annually to report on progress made.

The Africa Forum can complement the Partnership Platform. This is outlined in Table 8.

Table 8. Purpose and objectives of the CAADP Africa Forum and Partnership Platform

	CAADP PP	CAADP AF
Purpose	<ul style="list-style-type: none"> ■ Entrench CAADP across Africa as an instrument towards country-driven development of the agricultural sector 	<ul style="list-style-type: none"> ■ Upscale best practices in agriculture across Africa as an input into country-driven development of the agricultural sector
Supporting objectives	<ul style="list-style-type: none"> ■ Facilitate mutual review of progress, performance and challenges within CAADP ■ Discuss and decide upon CAADP implementation priorities and processes ■ Assess type of assistance via Multi-Donor Trust Fund 	<ul style="list-style-type: none"> ■ Facilitate the exchange of experience on best practices in agriculture (including innovations in agricultural programming) between countries ■ Support country teams in making a 'best-fit' selection of practices and lessons and look at next steps regarding an uptake or up-scaling of these in agriculture development processes at country level ■ Help country teams identify how the CAADP framework can be used as an instrument in supporting the development of the agricultural sector at country level
Participant focus	<ul style="list-style-type: none"> ■ Country CAADP focal persons; ■ Senior level decision makers in CAADP countries; ■ CAADP HQ representatives; ■ REC representatives; ■ Pillar institution representatives; ■ DPs at HQ level contributing to the CAADP Multi-Donor Trust Fund 	<ul style="list-style-type: none"> ■ Country CAADP focal persons; ■ Actors and drivers of agriculture development (government and non-government); ■ REC representatives; ■ CAADP-HQ and pillar representatives (depending on the requirements of the topic); ■ DPs at country level supporting the agriculture and rural sectors
Geographical focus	<ul style="list-style-type: none"> ■ CAADP countries 	<ul style="list-style-type: none"> ■ CAADP and non-CAADP countries
Emphasis with respect to the CAADP process	<ul style="list-style-type: none"> ■ Stage of the country roundtable; role of RECs and CAADP pillar framework; use of Trust Fund 	<ul style="list-style-type: none"> ■ Issues like: What was the involvement of the private sector in CAADP formulation? What is the role of CSOs (in light of Accra)? How can the CAADP process be used as a stepping stone to strengthen agricultural policies and institutions at country level?

5

Monitoring and evaluation of CAADP processes

M&E is in-built in the design of the CAADP country process. Component 4 of the whole process focuses on programme design including M&E-learning and peer review. Looking at the overall M&E however, one can distinguish two different dimensions:

1. The monitoring and evaluation of the CAADP implementation process.
2. The monitoring and assessment of the impact of the CAADP process in a given country or region.

The first aspect, the monitoring of the implementation process, has been described well in this guide. It is about the quality of the process. The milestones described in the text and in Appendix 4 are used by the implementing teams (country and support groups, RECs, etc.) to measure progress and quality in implementation in order to learn from mistakes and continuously improve implementation.

Reporting on the milestones is regularly carried out by the implementing teams and RECs and is fed back to the donors in the CAADP Partnership Platform. On the CAADP website, there is a matrix of the milestones vis-à-vis the different countries, which reveals the progress made by the different countries.

The second dimension, impact assessment of the overall CAADP process in a country, is a much more difficult aspect. An overarching impact assessment framework has been developed, but is not yet operational. Regular updates on this framework can be found on the website.

6

Financing CAADP implementation

Financing CAADP implementation has two aspects:

1. Costs for the implementation of the CAADP country process.
2. Costs for investment in terms of programmes and initiatives.

Both are important, but often have rather different sources of funding.

6.1

Mobilising resources for CAADP process implementation

6.1.1 The CAADP Multi-Donor Trust Fund (MDTF)

The CAADP MDTF has been established specifically to complement funding for the implementation of CAADP programmes and activities linked to strengthening quality and effectiveness in realising the CAADP agenda through the country CAADP roundtable processes. The core African institutions supporting and working on CAADP implementation are the primary beneficiaries of this trust fund. These include the African Union Commission (AUC); the NEPAD Secretariat; Regional Economic Communities (RECs); the pillar institutions and the related pillar pool of institutions; and the country CAADP teams.

Through the efforts of a number of development partners within the context of the Global Donor Platform for Rural Development, dedicated funding to CAADP implementation under the CAADP Multi-Donor Trust Fund (MDTF) is now a reality. The trust fund is formally established with an initial funding value of about US\$ 60 million over the first four years.

The MDTF is a funding source for the following activity areas:

- To support **capacity building** and the activities of African institutions leading to the adaptation and utilisation of CAADP across the continent.
- To facilitate enhanced **donor coordination** in supporting CAADP activities, and African agriculture more broadly.

Even though the trust fund's primary focus is on the CAADP framework, the main and ultimate value of the CAADP MDTF is that the resulting 'better quality and effectiveness' in planning and implementation and related capacities will rapidly increase sustainable agriculture productivity – translating into more cash and food for the continent's populations and direct support for industrial growth. This should also directly facilitate implementation of Africa's priorities and commitments (outcomes of the summits on fish,

fertiliser and food security as well as the cassava and rice, livestock and forestry initiatives). This should also inspire and capacitate Africa in dealing with emerging continental and global issues such as the current food crisis and rise in energy and food prices, and climate change, etc.

6.1.2 Other funding sources

Besides the MDTF, CAADP processes receive substantial support from bilateral sources and naturally from national governments and from the RECs themselves.

6.2 Mobilising resources for investment

The strategy for mobilising resources forms part of the process of partnership building. In the implementation of the CAADP process, this takes place at an early stage. Once the priorities are clear in a country, linkages with possible sources of funding or investment are established and relationships built through a process of co-designing investment programmes. The early involvement of investors means that their interests are also taken into account in the investment programme. Ideally, at the end of an investment programme design, the investors have committed themselves to financing the programme.

Resource mobilisation and attracting investment for African agriculture is centrally important. However, we are not just talking of donor funds, but of investments from the private sector and the 10% investment promised by national governments. The capacity to negotiate investment finance is part of the country support provided to the CAADP teams.

7

Regional level CAADP implementation: regional compacts and regional investment programmes

In this aspect, the CAADP agenda and framework emphasise the economic opportunities and value Africa will attain from harnessing its regional dimension of the economic and development architecture. It is clear that smart and strategic public–private trade and investment partnerships at regional and international level respectively will galvanise continuous internal and foreign public and private sector resources to make African agriculture a sustained source of regional and global wealth creation.

The CAADP framework is aimed at guiding relevant change and transformation where countries will be able to review and assess against appropriate information and analytical work options. This will enable national investment programmes to get even great viability when linked and pursued at a regional level. The framework is NOT simply a collection of projects referred to as regional programmes by virtue of their being planned by the regional institution and sited in more than one country, but often with no obvious link and relationship.

This situation will focus the efforts of the RECs and other regional bodies on activities and programmes related to creating and sustaining an enabling environment for regional trade (e.g. dialogue and negotiations on trade regulations, regional trade policies, import–export taxes, development of regional trade and communication infrastructure). AND it will enable country investment programme design processes to access analytical knowledge and information that would enable a country to make an assessment and plan region-oriented agriculture development investment programmes. The RECs and other regional bodies will also play a role in facilitating inter/multi-country negotiations in agreeing on regional level investment programmes. Such cases will arise even when no trans-boundary resources are directly involved.

8

Communicating CAADP

CAADP as a framework to align policies, strategies and programmes to the 6% growth agenda is a rather novel approach and concept, which most technical people have rarely experienced. People are used to projects and programmes and thus have often the wrong expectation of CAADP – that it is a programme with lots of money. This challenge has to be met with strategic communication initiatives at different levels to position CAADP as a framework for alignment with all its potentials and processes. The misunderstanding of CAADP is a potential factor for failure – as long as the value added is seen only in resource mobilisation. Unfortunately, the name CAADP spells out the wrong expectations of a programme.

At the level of the NEPAD Secretariat, a communication strategy is being developed. It will focus on:

- strategic communication campaigns with the appropriate materials;
- sharing knowledge and information among stakeholders and learning from experience; and
- an up-to-date database containing key information on CAADP and African agriculture.

At REC and country level, the objective is to communicate the framework and how it is made operational in a coherent and consistent way. A major effort by all CAADP implementers is required to continuously nurture the understanding of CAADP by all stakeholders. In addition to personal communications, this comprises large, group awareness-raising events, launches, media reports and the active engagement of key players on a continuous basis.



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Outlook

The CAADP country process as described here is a challenging and ambitious venture. 'Alignment through frameworks' is a different approach from conventional programme design and policy making. It is a transformation agenda for African agricultural development and thus it means CHANGE rather than cosmetics – provided the core values and principles of African ownership and leadership and the change from within are taken seriously.

Unfortunately, change is always connected with discomfort for many people who have become used to the system as it is – and often benefit a lot from the status quo in terms of their political and personal interests. Managing this discomfort, and vested interests, is a key challenge if we want to succeed in transforming agricultural development, be it at the political level, or at the technocrat level. Surely, this is not easy, and requires new skills, strategies and tactics and is a rather complex process. However, if one has the right skills and tools, managing complexity does not have to be complicated.

Change also means confusion. Without confusion, people do not seek for clarification and find new ways of doing things. These new ways cannot be prescribed. Ideas, options and inspirations can be given, but ultimately it is the actors themselves who need to find the most effective and efficient way to deliver and perform. Thus, a certain level of 'organised confusion' is required to stimulate deep thinking and a search for solutions. This explains why this 'guide' can be only a guide and not a manual or prescription on how to do things in detail. A guide can give advice on the way to go, but you have to walk it yourself. Once you know the way and the destination well, you do not need a guide and you will adapt to what makes most sense to you. **We encourage you to explore the best ways for yourself and use this guide accordingly!**

Whether CAADP succeeds depends to the largest degree on whether you want to make it work or not. Structural imposition of a process, without the conviction and motivation of the actors involved to make it work, will never work. Many leaders have failed with their good ideas and visions because middle level managers have not bought into these laudable visions, and have subtly sabotaged them. As with all new things, the easiest option is to prove that it does not work and thus contribute effectively to making it fail.

So, CAADP is in your hands and it is your conviction and energy which will make it work.

PART III: APPENDICES

10

Appendix 1: Some facts about the four CAADP Pillars

Given the complex array of challenges facing the African agricultural sector, CAADP sets out an approach based on four 'pillars' that cluster analytical issues and interventions under the following rubrics:

Pillar 1: Extending the area under sustainable land management and reliable water control systems

Principal issues include soil fertility management and conservation, agricultural water use and irrigation, and land policy and administration
Lead institutions: University of Zambia and Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel (CILSS);

Pillar 2: Increasing market access through improved rural infrastructure and other trade related interventions

Principal issues include supply chain development, quality control and management system development, export infrastructure, and global trade policies and agreements
Lead institution: Conference of Ministers of Agriculture of West and Central Africa (CMAWCA);

Pillar 3: Increasing food supply and reducing hunger across the region by increasing smallholder productivity and improving responses to food emergencies

Principal issues include emergency food supply management, nutrition, school feeding schemes, HIV/AIDS support strategies, attention to priority livelihood sectors
Lead institutions: University of KwaZulu Natal and CILSS;

Pillar 4: Improving agricultural research and systems to disseminate appropriate new technologies and increasing the support given to help farmers adopt them

Principal issues include technology development, access and dissemination, innovation systems platforms, and building research capacity and training
Lead institution: Forum for Agricultural Research in Africa (FARA).

The Pillar Lead Institutions have facilitated the development of pillar framework documents for each of the pillars to serve as technical reference and guidance for RECs and their member

countries as they develop and implement policy intervention and investment programmes. The documents analyse key challenges and issues, identifying success factors, best practices, and successful partnerships and alliance models that can be scaled up and adapted to accelerate progress and improve implementation outcomes.

The strategies of each pillar are described in each of the pillar frameworks and in various documents produced by the Pillar Lead Institutions (see CAADP website).

10.1

Pillar 1: Extending the Area under Sustainable Land Management and Reliable Water Control Systems

(led by the University of Zambia and the Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel (CILSS), under the TerrAfrica partnership structure)

Broadly, Pillar 1 concerns the extension of the area under sustainable land management and reliable water control systems. As such it focuses on:

- soil fertility and practices or systems to reverse or avoid land degradation and combat desertification;
- enhanced water productivity and sustainable water use; and
- integral elements with regard to land/natural resource use policies and administration.

Pillar 1 and its framework should also reflect and provide for strategic thinking on evolving thematic issues including:

- climate change;
- energy (biofuels, etc.); and
- HIV/AIDS and other potentially and actually marginalised groups, e.g. women.

Pillar 1 should also provide for integration with and alignment to issues around pastoralism (livestock, forestry and aquaculture) – as far as it relates to natural resource use issues (physical and/or socio-cultural factors).

The percentage of arable land in Africa that is irrigated is 7% (3.7% in sub-Saharan Africa), while the corresponding percentages for South America, East and South-east Asia, and South Asia are 10%, 29%, and 41% respectively. Furthermore, 16% of all soils in Africa are classified as having low nutrient reserves. Sustainable land management and reliable water control systems – especially small-scale water control systems – will not only provide farmers with opportunities to raise output on a sustainable basis, but will also contribute to the reliability of food supplies.

Objectives: to reverse fertility loss and resource degradation, and ensure adoption of sustainable land and forestry management practices in the smallholder and commercial

sectors; and to improve management of water resources while expanding access to irrigation.

Indicative Improvements include:

- a) Reinforcement of national capacities for land administration, including those of local governments, to improve access to land and protect user rights;
- b) Improvement of national research and extension systems to develop and disseminate conservation-friendly forestry and farming technologies;
- c) Design and implementation of community-based reforestation and resource conservation programmes;
- d) Interventions in soil health, restoring soil fertility with mineral fertilisers, agroforestry, cover crops, and green manures;
- e) Improved management of river basin water resources;
- f) Enhancement of strategic public infrastructure for water control, thereby creating opportunities for the private sector to invest in irrigation;
- g) Improvements in small-scale water management, including rainfall-harvesting and drip irrigation; and
- h) Greater partnership with farmer organisations and local administrations to manage access to and use of farmland.

(from 'The Comprehensive Agriculture Development Program (CADDP) – Unleashing Agricultural Potential' by Edison Mpyisi, Head of Division for Agriculture and Food Security at the African Union Commission; see <http://craigeisele.wordpress.com/?s=Edison+Mpyisi>.)

The CAADP Pillar 1 Framework cover note and related Pillar 1 Framework documents can be accessed on the CAADP website - www.nepad-caadp.net/library-pillar1-documents.php. The documents related to Pillar 1 can be accessed on the CILSS website at www.cilss.bf and the University of Zambia website, www.unza.zm/index.php.

10.2

Pillar 2: Framework for the Improvement of Rural Infrastructure and Trade-related Capacities for Market Access (FIMA)

(led by the Conference of Ministers of Agriculture of West and Central Africa (CMAWCA))

See framework document at www.cmaoc.org/CMAAOC/PDF/PDDAA/CAADP%20Pillar%20Framework%20Final.pdf and/or the CAADP website www.nepad-caadp.net/library-pillar2-documents.php for the documents relating to Pillar 2.

The ultimate objective of Pillar 2 is to accelerate growth in the agricultural sector by raising the capacities of private entrepreneurs, including commercial and smallholder farmers,

to meet the increasingly complex quality and logistics requirements of domestic, regional, and international markets. It focuses on strategic value chains with the greatest potential to generate broad-based income growth and create wealth in rural areas and the rest of the economy. The pillar agenda focuses on policy and regulatory actions, infrastructure development, capacity-building efforts, and partnerships and alliances that could facilitate smallholder-friendly development of agricultural value chains to stimulate poverty-reducing growth across African countries.

(FIMA, January 2008, pp. 8-9)



(c) NEPAD-CAADP

10.3

Pillar 3: Framework for African Food Security (FAFS)

(led by the African Center for Food Security (ACFS) of KwaZulu Natal University and the Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel (CILSS))

See framework document at www.africa-union.org/root/ua/Conferences/2008/avril/REA/01avr/Experts_FAFS.pdf.

Pillar 3 documents can be accessed by going to the CAADP website www.nepad-caadp.net/library-pillar3-documents.php.

The purpose of FAFS is to:

- Guide and assist stakeholders in Africa in simultaneously meeting the objectives of CAADP Pillar 3 and the African growth agenda by prioritising and guiding policy, strategy and activity development and analysis that focuses on three strategic areas:
 - increasing food supply;
 - reducing hunger and malnutrition; and
 - improving responses to food emergencies.

Convergence:

FAFS brings together a number of AU/NEPAD projects including:

- PANI (Pan African Nutrition Initiative);
- ARNS (African Regional Nutrition Strategy);
- ATYS (African Ten Year Strategy); and
- Abuja Food Summit Resolutions.

FAFS focus:

- Provides challenges, priority strategies and responses to help decision makers identify best practice solutions for addressing hunger and malnutrition in ways that support the broader CAADP agenda.
- Specifically targets the chronically food insecure (people with inadequate access to food or the means to purchase or acquire nutritious food) and those affected by emergencies and crisis.
- Recognises that reducing hunger and malnutrition cannot be achieved without achieving the goals of the other CAADP pillars.
- Ensures that the policies and strategies of the other pillars support and contribute efforts to reduce and/or eradicate hunger and malnutrition.

FAFS principles:

- Ensure the right to food for all citizens of Africa.
- Ensure that all parties seek to understand and address hunger and malnutrition.
- Mainstream considerations of human diseases such as HIV/AIDS, malaria, and TB.
- Ensure that emergency responses promote growth and reduce chronic hunger (i.e. do no harm to the overall CAADP agenda).
- Protect and promote the resilience of the livelihoods of the vulnerable.
- Address the gender dimensions of hunger and malnutrition.
- Promote intra-regional trade.
- Integrate regular review and broad based dialogue to ensure successful implementation.
- Be coherent with the MDGs.
- Integrate lessons from success stories.
- Address the challenge of halving hunger.
- Address challenges relating to inadequate food supply:
 - markets (domestic, regional and international);
 - natural resource management; and
 - increasing productivity.
- Address challenges in food crisis management:
 - early warning and crisis prevention;
 - challenges related to the management of emergencies; and
 - challenges related to policies and institutions.

10.4

Pillar 4: Framework for African Agricultural Productivity (FAAP)

(led by the Forum for Agricultural Research in Africa (FARA))

See Framework document at http://www.fara-africa.org/media/uploads/File/FARA%20Publications/FAAP_English.pdf. Pillar 4 Framework documents can be accessed by going to the CAADP website www.nepad-caadp.net/library-pillar4-documents.php.

Evolution and reform of agricultural institutions and services:

- Farmer empowerment.
- Catalysing pragmatic agricultural research.
- Revitalising extension services.

Increase scale of investment in agricultural productivity:

- Following up on governments' commitments.
- Encouraging private investment.

Aligned and coordinated financial support:

- Moving from 'project' to 'programme' mode.
- Common processes for strategic dialogue.
- Common financial management procedures, M&E, reporting and review systems.
- Learning and adopting best practices.
- Multi-donor trust funds.

Expected actions at national level:

- Identifying limitations to agricultural productivity.
- Responsiveness to market conditions and economic justification as key factors.
- Promoting mutual learning and development of synergies and feedback mechanisms.
- Participation by all stakeholders.

Expected actions at the sub-regional level:

- Compliance of SRO strategic plans to FAAP.
- Contribution to evidence-based planning.
- Focus on activities with sub-regional spillovers and comparative advantages over national actors.
- Employing a pluralistic model in regional programme implementation.

Expected actions at the regional level:

- Subsidiarity in locating decision making.
- Adding value to SROs, e.g. advocacy, resource mobilisation and partnership building.
- Identifying and coordinating programmes that provide economies of scale and learning at continental level (e.g. RAILS, DONATA).
- Ensuring equitable access and contribution to information.

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Appendix 2: Country Roundtable benchmarks and key action points (summary table)

Process benchmarks	Main action points/deliverables/indicators	
1. Engagement with stakeholders and public	1. Government buy-in and assumption of leadership responsibility	<ul style="list-style-type: none"> a. Initiate engagement with government (joint aide memoire confirming commitment on both sides) b. Hold inter-ministerial meeting (agric/finance/NEPAD country desk office) c. Country formally requests support on CAADP implementation d. Inform in-country NEPAD desk office inform and produce written commitment to support the process e. Appoint country focal point unit (high level responsibility)
	2. Key stakeholders engaged around a common commitment to move with the CAADP agenda (including development partners)	<ul style="list-style-type: none"> a. Create multi-stakeholder team with ToR to jointly drive the process defined b. Define, agree and operationalise functions and responsibilities for a multi-partner/multi-sector arrangement to drive the CAADP implementation process c. Technical committee develops a draft road map as a country specific guide on the development of the CAADP agenda and identifies entry points for the pillars d. Undertake stakeholder analysis
	3. Public awareness and information support on the CAADP agenda	<ul style="list-style-type: none"> a. Public and especially potential partner institutions comment/input on the country plan on the CAADP agenda b. Develop and operationalise CAADP communication strategy as part of broader stakeholder consultation thrust, awareness/informing and advocacy objectives
	4. Formal launch of the CAADP agenda implementation	<ul style="list-style-type: none"> a. Cabinet minutes backing CAADP b. Teams prepare the road map and organise, plan and programme for the launch c. High visibility launching event bringing together government at highest level, stakeholders at national level (public, private, farmers) and regional/continental level (REC, AU/NEPAD, development partners) <ul style="list-style-type: none"> ■ Agree road map (main outline) for the overall implementation process ■ Partners' commitments and endorsements of the road map
2. Evidence-based analysis - deepening understanding around common priorities	5. Stocktaking and analytical work commissioned	<ul style="list-style-type: none"> a. Agree ToRs for the studies agreed <ul style="list-style-type: none"> ■ Ecosystem and technical diagnostic ■ Policy, financial and institutional diagnostic and capacity assessment ■ Regionalism (country's regional comparative advantage and aspects from which a country would obtain better returns by pursuing programme at regional level) b. Engage experts
	6. Reports of studies submitted	<ul style="list-style-type: none"> a. Technical Committee critically examines the report (quality assurance) b. Comments integrated and revised report endorsed by Technical Committee

Process benchmarks	Main action points/deliverables/indicators	
3. Development of investment programs, partnerships and alliances	7. Working groups suggest best options for intervention	a. Working groups on priority issues elaborate core elements of a future programme with options and best practice, etc
	8. Validation workshop: national consensus on the drivers of growth and priorities and levels of investments required	a. Stakeholders critically review findings and take ownership of the analysis, the identified key drivers and priority investment areas and requirements b. Partners take collective responsibility to pursue the agriculture agenda along the identified drivers of growth c. Stakeholders are clear about their roles, responsibilities and contributions required to make this agenda work
	9. Agreement on the identified priority areas of investments by national and international partners (compact)	a. Roundtable conference for endorsement of priority areas and commitment for investment b. Signing of compact: commitment by government and development partners and other stakeholders c. Agreement on the elements of the investment programmes
4. Assessment and learning from process and practice and adaptation and re-planning (as from benchmark 14)	10. Initial set of core investment programmes developed	a. Undertake detailed formulation exercise (with participation of all key stakeholders including the target beneficiaries, and supported by expert backstopping input from the pillar institutions) b. Mobilise alliances with investors and align investments to priorities of CAADP and national priorities c. Align on-going programmes to the CAADP agenda
	11. Clearly articulated implementation modalities with the roles of key players clarified	a. Identify implementing partners on the basis of their capabilities and previous performances, and agree institutional arrangement b. Coordination mechanisms in place
	12. Capacity requirements for programme implementation defined and integrated in the programme design	a. Conduct capacity assessment prior to programme and implementation design b. Performance enhancement programmes in place
	13. Cost assessed and required resources mobilised and committed (including government investment financing)	a. Agree on the kind of investment instrument used (whether SWAP, projects, etc.) b. Funding agreements between government, DPs/foundations (aligned donor support) c. Secure commitment of government /ministry of finance budget d. Private sector engages and commits to participating in the programme

Process benchmarks	Main action points/deliverables/indicators
14. M&E framework agreed upon	a. There is learning and readjusting – it is important to consider the learning aspect and process management
15. Monitoring mechanism in place linked to the peer review mechanism	a. Monitoring mechanism in place b. Annual performance reviews (process and impact) c. Regular adaptation of programme design and arrangements in view of lessons learnt d. Impact assessment e. Identify new programmes and opportunities

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Appendix 3: Key lessons learned from CAADP implementation initiatives

With government commitment and operational arrangements (a country CAADP team in liaison with key partners forming a national CAADP platform/task force) in place, one fundamental first step is to 'sketch' a process road map based on the circumstances and conditions at that moment. This exercise, also undertaken as an inclusive consultative process, should also bring out a clear and shared vision of the outcome of the engagement.

The implementation of CAADP country roundtables poses a number of challenges including:

- Ensuring CAADP implementation occurs within the context of national development plans and initiatives and does not become perceived as an external initiative from outside.
- Achieving widespread participation from all stakeholders, particularly farmers, private sector and civil society.
- Ensuring the analytical and investment design elements of the roundtable are sufficiently thorough.
- Moving stakeholders towards real commitments in support of country-identified CAADP priorities.
- Promoting clarity in the expectations of stakeholders on the outcome and commitments made during the roundtable process.

Facilitating a CAADP roundtable process that meets all these challenges will require a strong focus on adaptability, process management and engagement. These and other important aspects of quality enhancement can help ensure the roundtable process can achieve its overall objectives. This section discusses some of the important factors in implementation that cut across the roundtable process. They are not steps that must be followed, but should be viewed as valuable tools for improving the quality of the roundtable process, which can be applied where appropriate.

1. Defining the value addition of CAADP at the country level and developing a country specific vision for the roundtable

A first step in the roundtable process should be engagement at the country level to identify the value addition CAADP can bring to national level initiatives and investment programmes. The overriding focus of the roundtable process should not be on adding an extra layer of process or planning but in supporting a real exercise that results in distinct value addition for national stakeholders.

2. Developing a process map that translates the vision of the roundtable into a actionable plan

The country-specific vision of what a CAADP roundtable can add can be translated into a kind of process map that identifies how the roundtable process will deliver the expected value addition. This includes identifying specific areas of analysis, planning, stocktaking, mobilisation of resources, investment design or peer review. The various elements of the roundtable process will vary depending on every country context so it will be important to develop consensus around what the roundtable process will deliver in as much detail as possible. Process mapping requires that roles, responsibilities, key benchmarks and expected timings are also clearly identified from the outset.

3. Adaptive management: maintaining flexibility and adaptability in implementing and sequencing elements of the roundtable process

An important strategy in facilitating the roundtable process will be in adapting to the specific country context, including the landscape of institutions, ongoing initiatives and level of interest present in government. This may mean the sequence of the country roundtable will vary. In some cases, the compact signing may come early on in the process and more of the analytical work, investment design and formal financing agreement will come later. In other cases, more of this work may come first and then be followed by a detailed compact that moves quickly towards implementation. Where countries have already undertaken a detailed investment programming exercise and are in the implementation phase, the roundtable may focus more on peer review, investment design processes and M&E. Adaptive management will require leadership among participants and facilitators to respond to the specific (and perhaps changing) needs of the country during the roundtable process.

4. Identifying and coordinating inputs from pillar institutions, RECs, and AU/NEPAD

A clear area of value addition in the roundtable process is the

ability to draw on resources outside the country from pillar institutions, RECs and AU/NEPAD to both increase the level of technical expertise available for identifying priorities and developing investment options, and to draw in the political support needed to mobilise greater investment resources. As part of the process mapping exercise, there will be a need to identify when and how external partners at the regional and continental level can support the roundtable activities. As the primary external partner, the RECs can play a lead role in coordinating this process and ensuring adequate synergy between the activities of the different partners. Periodic meetings will be needed to ensure all partners are coordinated and to re-assess the requirements of the roundtable process.

5. Special targeting to ensure adequate participation of key stakeholders

Two major stakeholders that are often left out of agriculture sector prioritisation and planning are ministries of finance and the private sector (including farmers). There is likely to be a

need for special focus on facilitating the active participation of both types of stakeholders in the roundtable process. If there is not enough participation, the roundtable process will not achieve its goals so special measures – flexibility in timing, early engagement – may be required to ensure their participation.

6. Peer learning

Periodic learning events and assessment can be useful in assisting those leading roundtable implementation in refining their methods and reviewing impact. Learning events across regional areas or between countries could be a useful mechanism for sharing information or exchanging experience on country roundtable processes. Peer learning should be an important element of improving the overall quality and can be one area of support by RECs and AU/NEPAD.

The table below lists a number of additional lessons from CAADP implementation efforts to date, which may help subsequent countries ensure a successful process.

Main lesson insights and implications for future design of roundtable (RT) processes

How to mobilise resources from government investors

- Countries must invest in process (10%)
- Cost implication of CAADP on national level
- Investors must be part of the process from the beginning – deliberate partnership building from diagnostic
- Development partners in country should support the process
- DP to participate in process from early on
- Lack of financial support
- Resource mobilisation is an ongoing process that begins with engagement before compact

How to manage communication effectively in the RT process

- Need for improved communication strategy for CAADP process
- Things are happening and we need to communicate with proper visibility at national level
- In run-up to RT, have a strong strategy of communication and information
- Lack of information/knowledge of CAADP
- Good communication tools are needed to facilitate RT process
- Speed in mobilising stakeholders is key

How to coordinate the different stakeholders and institutions in the RT process

- Fragmentation across government institutions delays a process
- RT provides platform for coordination
- Lack of holistic approach from cautious ministries is a challenge
- Presently linkages with stakeholders are weak
- Broader range of stakeholders to be included in the RT process
- CAADP is a process requiring inclusiveness of all partners

How to synchronise the RT process with country programmes

- Integration of CAADP into existing programme (national and RECs)
- Adaptation of CAADP to country programme
- Alignment is difficult without existing national programmes (home-grown)
- Roundtable process should be synchronised with country context (PRSP, national development plan, etc.)
- Pillars institutions should inform the development of national programmes – part of the RT
- CAADP has not engaged with ongoing process

How to integrate the pillars in the RT process

- Need to synergise or integrate pillar activities
- Need for network pillar institutions
- Need to define roles and responsibilities of pillar institutions in CAADP country roundtable process
- Countries can profit from expert technical agencies, for example in designing the RT
- Pillars could support RT cycle better (knowledge, resources, lessons)
- Full-time RECs/CAADP team – especially pillars

How to define milestones and benchmarks for the RT process

- There will be several benchmarks to achieve and sustain (diagnostic policy)
- The RT is a cycle not an event or even a process
- The compact is an important milestone but not the end product
- Recognising differences in country process issues is an added value brought by CAADP
- Need consensus on milestone or critical steps in RT process

Main lesson insights and implications for future design of roundtable (RT) processes *continued...*

How to reach the buy-in at all levels to drive the RT process

- Country engagement (start-up) is more than a political decision. It is a buy-in at programme/technical level
- Need clearer entry points into country processes
- Target high level government officials and incorporate them into RT process and missions
- Leadership/lobbying (national, RECs, AU-NEPAD)

How to link regional and national levels

- Stocktaking needed to bridge gaps at national level/regional level
- Incorporate neighbouring countries in RT processes at national level to build towards regional programme
- Development of regional and national programmes should take place concurrently
- The RT process should include a plan for the post-compact process

How to design M&E and the peer review process

- Put in place a good peer review process using pillar framework companion documents
- M&E is critical and needs to integrate peer review mechanisms

How to keep the process flexible

- Must be broader and a more flexible interpretation of RT
- Attaining the minimum required to move a country-owned CAADP RT is a systematic process that requires time and resources
- Timeframe – this process takes time

How to strengthen the focal points so that they have the clout required

- Focal points support and selection should be re-visited – training needed
- Remove focal areas from agriculture and take them to office of the president
- Coordinating institutions in countries is a challenge
- The RT process should include a plan for the post-compact process
- Need capacity mapping across the value-chain (human institutions) – identify resources
- Flagship activities and best practices need to be identified in countries that have signed the compact
- Need a system that empower actors in the value-chain to learn

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