



African Union



NEPAD Planning and
Coordinating Agency (NPCA)

www.nepad.org
info@nepad.org
Tel: +27 (0) 11 256 3600
Fax: +27 (0) 11 206 3762

P.O. Box
1234, Halfway House
Midrand, 1685
Johannesburg
South Africa

ANNEX 1

REPORT OF

THE VALIDATION OF

THE CAADP MUTUAL ACCOUNTABILITY FRAMEWORK

02 – 03 AUGUST 2010

(HYATT REGENCY HOTEL, JOHANNESBURG)

By

Simon Kisira and Leonard Oruko

Foreword

By Martin Bwalya - Head of CAADP, NPCA

Achieving food security and poverty alleviation in Africa is just as much in the interest of global food security, stability, development and growth. The aid effectiveness agenda at global level charges all players to empirically demonstrate their performance on development goals. Moreover, the NEPAD values and principles come in clearly complementary to global strategies and plans including the commitments of development partners to enhance development aid effectiveness.

One of the inherent features of the Comprehensive Africa Agriculture Development Programme (CAADP) framework is the resolve to commit proactively and publicly transparency and accountability – and evidently a growing commitment to action, finance and results as a collective responsibility by African governments, development partners, private sector and civil society. CAADP, in this regard offers a coordinating framework to build and align systems and mechanisms including policies and institutional relationships that will entrench mutual accountability in Africa's development.

Many African countries already have national level mechanisms supporting mutual accountability in agriculture. The CAADP M&E framework and the Mutual Accountability Framework (MAF) is about strengthening the national level systems, building regional and continental level systems as well as linking all the three levels. The CAADP Partnership Platform is one of the avenues and forum for continental level review, debate and rewarding of performance. However, the current drive and commitment to CAADP implementation presents unique opportunities to address and highlights the urgent need to integrate and strengthen these accountability mechanisms. For example:

- Whereas, the existing accountability mechanisms empower donors to hold African governments to account, African partners have limited power to hold donors accountable, yet the capacity of African partners to deliver on agricultural development initiatives is also significantly dependent on efficient co-ordinated financial support from donors; and
- Accountability mechanisms are variable within the development architecture at country and REC level. Where they are limited, CAADP cannot assume the incentives exist for voluntary compliance to mutual commitments.

In late 2009, CAADP Partners agreed to develop a Mutual Accountability Framework (MAF) that would provide incentives to ensure that all partners deliver on their commitments towards African agriculture. Following the development of the CAADP MAF framework, a stakeholder workshop was held in August 2010 to validate the framework. This included assessing the ease of application of the framework, verifying the adequacy and quality of content contained in the CAADP MAF, as well as assessing the extent to which the framework is able to enhance country level accountability mechanisms.

This Report provides a brief description of the CAADP MAF including an overview of generic principles and tenets of mutual accountability mechanisms. It also presents examples of accountability structures and processes at global, regional and national level, and outlines a list of performance indicators of various stakeholders based on their respective commitments. Furthermore, the report enumerates platforms and processes for review, dialogue and recognition based on evidence generated by the CAADP M&E system. It concludes with a communiqué essentially providing the broad pathway for advancing the CAADP MAF. The workshop outcomes presented in this Report take us one key milestone further in grounding the implementation of the CAADP Mutual Accountability Framework.

I wish to acknowledge the valuable technical input of individual participants and their respective institutions or countries; the contributions of representatives of African countries, development partners, pillar institutions, RECs, private sector, ReSAKSS, IFPRI, civil society as well as staff from AUC and NPCA are much appreciated. As a result of their work, it is hoped that this Report will serve to inform the efforts of strengthening mutual accountability at various levels of CAADP implementation.

Special thanks go to GTZ who sponsored the bulk of the validation workshop. In the same vein, institutions that sponsored participation of their staff in the workshop are highly commended.

Abbreviations

ACTESA	Alliance for Commodity Trade in Eastern and Southern Africa
APF	African Platform Forum
AUC	Africa Union Commission
CAADP	Comprehensive Africa Agriculture Development Programme
COMESA	Common Market for Eastern and Southern Africa
CSOs	Civil Society Organisations
DfiD	Department for International Development
DPs	Development Partners
FARA	Forum for Agricultural Research in Africa
IFPRI	International Food Policy Research Institute
MAF	Mutual Accountability Framework
NGOs	Non-Government Organisations
NPCA	NEPAD Planning and Coordinating Agency
PP	Partner's Platform
PRSP	Poverty Reduction Strategy Paper
REC	Regional Economic Community
ReSAKSS	Regional Strategic Analysis Knowledge Support System

Table of Contents

Foreword	i
Abbreviations.....	ii
Table of Contents.....	iii
1.0 Background and Introduction	1
1.1 Opening Remarks	1
1.2 Synthesis of Participants' Expectations.....	1
1.3 Workshop Objectives.....	2
2.1 Why a CAADP MAF.....	2
2.2 Overview of Mutual Accountability Mechanisms	2
2.2.1 Who is Accountable to Whom and for What.....	3
2.2.2 Key Elements of a MAF	3
2.2.3 Strategies for Strengthening Mutual Accountability Practices.....	4
3.1 The CAADP MAF.....	4
3.2 Global Level Mutual Accountability Instruments	5
3.2.1 The Paris Declaration Survey	5
3.2.2 The L'Aquila Food Security	5
3.2.3 The Africa Partnership Forum	6
3.2.4 The African Monitor.....	7
3.3 Example of Accountability Mechanisms at REC Level	7
3.4 Example of Accountability Mechanisms at Country Level	7
3.4.1 Accountability Mechanisms in Rwanda	7
3.4.2 Accountability Mechanisms in Kenya	8
3.4.3 Accountability Mechanisms in Mozambique	8
3.4.4 Synthesis of Country Presentations	9
4.0 Key Indicators for Monitoring Commitments of DPs in the CAADP Process	9

4.1 Why Monitor.....	9
4.2 Indicators to Monitor and Evaluate	9
4.3 Questions for Development Partners	10
4.4 Key Indicators in CAADP Round Table Processes.....	10
4.5 Key Indicators for an Enabling Environment.....	11
4.6 Data Collection Management and Analysis	11
5.0 Group Work	
5.1 Categories of Platforms for Review, Dialogue and Recognition.....	12
5.1.1 Platforms and Processes to be considered for the CAADP MAF	12
5.1.2 Categories of Stakeholders	12
5.2 Key considerations for CAADP MAF at different levels.....	12
5.2.1 Considerations at Country Level	13
5.2.2 Considerations at Regional Level.....	13
5.2.3 Considerations at Continental Level	13
5.2.4 Considerations at Supra-Continental Level.....	14
5.3 Next Steps for the CAADP MAF	14
5.3.1 MAF Process Management.....	14
5.3.2 MAF within the CAADP Partners’ Platform	14
5.4 Proposed Additional Indicators	14
5.4.1 Additional Indicators for Performance of Development Partners	15
5.4.2 Additional Indicators for Countries	15
5.4.3 Additional Indicators for RECs	15
6.0 Highlights of the Communiqué for the Workshop	16
6.1 Concluding Remarks	16
Annex 1: List of Participants.....	a
Annex 2: Communiqué of the CAADP MAF Validation Workshop	b

1.0 Background and Introduction

Following the recommendations in the 5th CAADP PP communiqué where a Task Team was charged with developing a Mutual Accountability Framework (MAF), a draft framework was developed by a team comprising of 3 people from NPCA, FARA and DfID. Subsequently, the draft MAF was presented to the 6th CAADP PP. The 6th PP meeting broadly welcomed the framework and called for a series of actions.

The Framework, however, had not been subjected to a wider forum of stakeholders for validation. To this end, a workshop was held on 02 – 03 August to validate the MAF. The composition of participants consisted of representatives of African countries, development partners, pillar institutions, RECs, private sector, ReSAKSS, IFPRI, civil society as well as staff from AUC and NPCA.

1.1 Opening Remarks (By Martin Bwalya, NPCA)

The workshop was opened by the Head of CAADP, Mr Martin Bwalya who underscored the central role of transparency and accountability to CAADP. He noted that a mutual accountability mechanism reinforces the existing CAADP M&E efforts by ensuring that the evidence generated is used to buttress review, dialogue and negotiations among various stakeholders. Review and dialogue processes are deemed to be pivotal in supporting countries to create sustainable results. In this regard, MAF is perceived as a critical and integral part of implementation, monitoring and peer review of CAADP processes.

Cognizance was made of existing mechanisms at country and regional levels that provide a potential point of leverage for anchoring CAADP MAF efforts. Moreover at continental level, the CAADP PP can be configured to mirror aspects of mutual review, dialogue and debate with a view to ensuring efficient delivery and use of resources, as well as effective delivery of development results.

1.2 Synthesis of participants' expectations:

- Understand how MAF will interface with, and complements the CAADP M&E Framework
- Understand how MAF will be implemented, and the processes of developing MAF reports
- Identify effective coordination mechanisms for implementation of the CAADP MAF
- How MAF will be linked to M&E frameworks and processes at country and regional levels
- Explore mechanisms of holding all stakeholders accountable to their commitments and mutually agreed targets
- Get clarification on roles and responsibilities of stakeholders in the CAADP MAF
 - How inter-pillar country support will enhance mutual accountability at country level
 - How MAF will empower civil society to hold governments and DPs accountable
 - The role of country SAKSS nodes and their mandate in the MAF
 - What role the farmers will play in the CAADP MAF
- Identify expected outcomes of MAF
- How MAF will precipitate unlocking resources for CAADP processes

1.3 Workshop objectives (By Keizire Boaz, AUC)

- i. Validation of the Draft Overall Framework for CAADP Mutual Accountability.
- ii. Establish a clear link between M&E framework and the MAF – and devise means of how these support each other.
- iii. Develop a Roadmap to agree on actions and next steps in the application of the framework

2.0 The CAADP Mutual Accountability Framework

2.1 Why a CAADP MAF (By Martin Bwalya, NPCA)

Within the context of improving aid effectiveness, the Paris Declaration underscores the need for boosting accountability and transparency as a measure to ensuring commitment to deliver Results/Impact. Increasingly, mutual accountability is getting more attention at global, regional and national levels; evidently, the patterns show more demand for inclusive-constituent tracking, monitoring and accounting on decisions and commitments (*see Business Times tabloid article 02 Aug 2010*).

Mutual accountability is intrinsic to the NEPAD-CAADP agenda as reflected in the core principles and values that guide delivery of the CAADP agenda, including: transparency and accountability; inclusiveness and collective responsibility; driven by peer pressure and incentives; and commitment to results and long term impact.

The mandate to develop the MAF is derived from the 5th CAADP PP that was held in November 2009. Based on a common understanding of MAF principles, AUC and NPCA were mandated to put in place a mechanism that holds accountable all stakeholders (AU, DPs, IPs, etc...) on commitments made to the CAADP agenda.

As the CAADP processes at country level increasingly delve into implementation, it is critical that attention is drawn to performance and results. Moreover, with increasing commitments made to the CAADP agenda, it is critical that resources are delivered and used effectively. For all this to happen, a cost-effective mechanism should be instituted to ensure that all stakeholders honour their commitments and adhere to agreed decisions in pursuit of development results. The CAADP MAF will be the mechanism that will facilitate mutual review and dialogue among all CAADP stakeholders, based on evidence generated by the M&E system. Ultimately, the processes and outputs of the MAF will aim to inform both technical and political / policy decision making processes at different levels.

2.2 Overview of Mutual Accountability Frameworks (By Simon Kisira, NPCA)

Working definitions of accountability and mutuality were presented, citing references such as papers on mutual accountability by OECD, GTZ and ODI. The definitions of **Mutual Accountability** as presented in the Paris Declaration and the Accra Agenda for Action were shared thus:

Mutual Accountability is ...

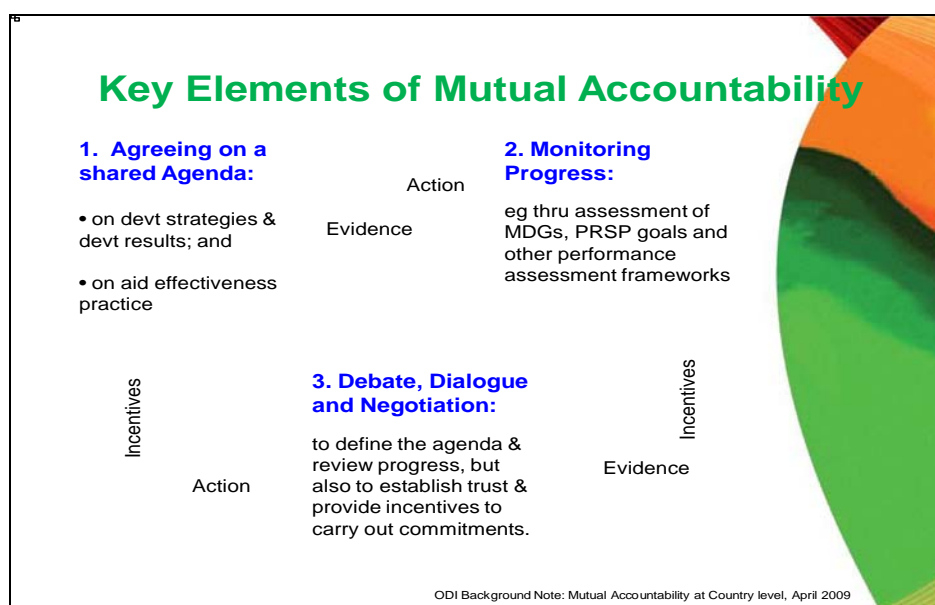
- “... multiple sets of dyadic **relations** with **recipient** and **donor govts accountable** to their **respective legislatures** and **citizens** as well as **to each other** “ (*Paris Declaration*)
- “...a process by which two (or multiple) partners hold one another responsible for the commitments that they have voluntarily made to each other. ... (one) through which **commitment to, and ownership of, shared agendas** is created and reinforced...” (*background paper for the Third High-Level Forum on Aid Effectiveness - Accra, 2008*)

Thrust was laid on aspects of partners holding one another responsible for the commitments that they have voluntarily made to each other, as well as mechanisms for regulating behaviour between autonomous parties. Moreover, commitment to *good* practices and transparency in the way the partners relate was highlighted as critical for genuine mutual accountability.

2.2.1 Who is Accountable to Whom and for What?

With focus on efficient delivery and use of delivery aid as well as effective delivery of development results, development partners and country partners have an obligation to account to their domestic constituencies, who may comprise of parliaments, legislature, boards of governors and civil society. Partner countries have a specific obligation to ensure that the legislature provides an effective oversight function in the design and execution of development strategies and budgets. Similarly, the role of civil society in the formulation as well as assessment of progress in development strategies needs to be strengthened by partner countries.

2.2.2 Key Elements of a Mutual Accountability Process



Critical **factors to the success of a mutual accountability process** were outlined, including: confidence and reciprocal trust; coherence (ensuring collective action by all parties); technical and political capacity; credible evidence as well as transparency and predictability of aid flows; legitimate incentives; and complementarity between domestic and mutual accountability mechanisms.

2.2.3 Strategies for strengthening mutual accountability practices were elaborated, including: engaging in high level political dialogue; building links with international mutual accountability agenda; strengthening performance information systems at country level; undertaking and using annual sector / programme performance reviews and mutual reviews of development effectiveness to engage in strategic level performance discussions; nurturing openness to external scrutiny; and enhancing engagement of civil society in the processes of mutual accountability.

3.1 The CAADP Mutual Accountability Framework (By Leonard Oruko, FARA)

MAF concepts and principles inform the design and processes of CAADP; the evidence based planning and reviews as well as protracted engagement with stakeholders are MAF tenets that underpin CAADP processes.

It is noteworthy that the quality of the CAADP MAF processes and products will be contingent upon how robust the M&E systems are that generate evidence. Through the interrogation of the M&E – generated evidence, the MAF will enhance accountability and transparency among and to stakeholders through genuine mutual review, debate and dialogue. This underlines the need for identifying structures and platforms (at *pre compact and post compact/ implementation stages*) that will anchor mutual accountability processes at country, regional and continental levels.

Since mutual accountability relies on voluntary commitments, debating the evidence will provide incentives for CAADP partners to deliver on their commitments. Moreover, the CAADP MAF will put in place mechanisms for rewarding performance. Ownership of the MAF will be cultivated, building on trust and commitment among the various partners, and mechanisms that stimulate genuine dialogue and debate will be promoted.

At country level, it was noted that evidence exists, albeit variable in quality across African countries. Ownership of accountability mechanisms is, by a large measure deemed lacking. Furthermore, platforms especially for farmers and civil society for dialogue and debate are generally lacking. In this regard, it was proposed that review and accountability mechanisms at pre and post CAADP compact stages are included at country level. It was proposed, for example, that CAADP stock-taking exercises include a review of existing mutual accountability mechanism at country level. Additionally, that existing accountability mechanisms are evolved into mutual accountability processes, ensuring a comprehensive set of indicators for all players as well as inclusive platforms for genuine review and dialogue. There was a strong recommendation for the country CAADP teams to commission independent reviews of the performance reports. These reviews will be conducted by

a coalition¹ of stakeholders (preferably civil society and international NGOs) and will produce country-level mutual accountability reports.

A case study from Rwanda was presented that mimics a mutual accountability mechanism at country level. Commitments, reflected in planning and policy documents such as the EDPRS, the CAADP Compact and the Strategic Plan for the Transformation of Agriculture are tracked using instruments such as the National Results and Policy Matrix as well as other M&E tools. The Common Performance Assessment Forum (CPAF) and the Development Partners Assessment Forum (DPAF) provide the space for peer review, debate and dialogue on performance against targets and commitments among government institutions and development partners respectively. Other fora such as the National Stakeholders' Dialogue Meeting and the Presidential Retreat provide the platform for recognition and reward.

At Regional and continental levels, commitments are tracked using the CAADP M&E system while the dialogue and debate platforms include the CAADP PP and REC-Ministerial and technical meetings. Recognition and rewards would be situated at fora such as the APF and the AU Heads of State Summits. It was proposed that indicators that relate to mutual accountability by all actors in the CAADP process (for example donor coordination mechanisms) are included in the CAADP M&E. Specifically for continental level, the recommendation was to re-configure the CAADP PP into a genuine platform for mutual review, dialogue and debate at technical level. This would require that the TORs for the PP are reviewed, the rules of engagement are re-defined and that recognition mechanisms are articulated.

3.2 Global - level mutual accountability instruments (By Ian Randall - DfID)

A list of relevant initiatives that hold providers accountable at global level was presented. The initiatives are hinged on global platforms such as: The Paris Declaration; The L'Aquila Food Security Initiative; The Africa Partnership Forum; The African Monitor; and others such as ... These initiatives were analyzed *in form of* evidence and debate generated, level of ownership as well as extent of change in behavior of partners that they (potentially) generate in view of the sanctions, recognition and reward systems that they provide.

3.2.1 The Paris Declaration Survey aims to monitor implementation of the Paris Declaration on aid effectiveness, and to drive improved donor behavior through measures such as annual review of development aid against indicators like country ownership, alignment, donor co-ordination and mutual accountability. It is managed by OECD Development Assistance Committee (DAC). This initiative generates quite credible evidence, but may be currently quite weak in terms of debate and ownership. It was noted, however that this initiative has a high potential for causing change in behavior especially among development partners.

3.2.2 The L'Aquila Food Security Initiative is poised to increase the quality and quantity of global support for agricultural development and food security as demonstrated by pledges amounting \$22 billion over 3 years pledged by G8 plus others. The accountability initiatives include: the OECD DAC initiative which tracks actual nature of disbursements against pledges; and the Committee for Food

¹ composition of the proposed coalition needs to be balanced and not skewed to CSOs and FOs

Security mapping activity at country level (yet to commence). The CAADP M&E is cited as a potential source for providing credible evidence. The level of debate generated and ownership of the initiative was perceived to be quite strong.

3.2.3 The initiative under the **Africa Partnership Forum** monitors commitments made by African countries and Development Partners in support of the MDGs in Africa for purposes of generating action in response. Managed by OECD & AU/ NEPAD, twice annual high-level meetings are held and annual Development Co-operation Reports on progress against commitments for key themes such as agriculture are reviewed. This initiative currently seems weak on the evidence generated, the level of debate and ownership, as well as the extent of behavioral change in delivering on their commitments.

3.2.4 The African Monitor is an independent Pan-African organisation initiative which was crafted to monitor development funding commitments, delivery and impact on the grassroots in Africa. The tracking is conducted through an annual “Development Support Monitor” which catalogues commitments, and monitors delivery on the same from a grassroots perspective, thereby producing occasional thematic reports.

While this initiative generates quite credible evidence including information from civil society organizations at grassroots, the extent of ownership of the process (the fact that it largely extracts information from the grassroots) let alone the level of meaningful debate is questionable. Relatedly, the changes in partners’ behaviors accruing from these efforts seem to be (potentially) minimal.

Other accountability initiatives include: The International Health Partnership; International Aid Transparency Initiative; Publish What You Fund; OECD Peer Reviews of DAC members; and ONE

Trends in, and emerging revelations about Mutual Accountability Internationally

- Mutual accountability has made slower progress than other principles from the Paris Declaration, and understanding is often poor
- Mutual Accountability mechanisms are often weak at national level
- Performance targets are often unclear for development partners at a national level
- Ownership and debate can be strongest where transparency is weakest
- Civil society and other non-executive stakeholders must be given a stronger role in holding providers accountable
- How to hold new partners accountable

3.3 Example of Accountability Mechanisms at REC Level–COMESA (By Martha Byanyima)

COMESA’s regional integration agenda is shared with Member States and guided by the COMESA treaty & Heads of State decisions. Accountability is at two levels namely:

1. Ministers' Meetings eg the joint meeting of the Ministers of Agriculture and the Environment where COMESA presents technical reports on the basis of which Member States review progress and endorse decisions/recommendations; and
2. COMESA/Donor/Stakeholder Platform which brings together key implementing partners. In this forum, ACTESA presents progress reports which are reviewed against set indicators. The output is a matrix with key recommendations and decisions made.

Next Steps for COMESA

In the next short term, COMESA will focus on improving its M&E system; the existing COMESA M&E system is general in nature and does not adequately address CAADP needs. The COMESA Regional CAADP Compact provides for an M&E system that will assess the impact of regional integration on agricultural growth targets. Appropriate indicators will be developed in this regard. Moreover, COMESA will continue to work with ReSAKSS to improve the regional integration information.

3.4 Examples of Accountability Mechanisms at Country Level:

Presentations were made by participants from Mozambique, Rwanda and Kenya, describing supportive mechanisms at country level for mutual accountability processes.

3.4.1 Accountability Mechanisms in Rwanda (By Claude Bizimana)

Rwanda has a structure where government it engages with development partners (DPs). Through a **Common Performance Assessment Framework (CPAF)** – derived from the country's PRSP – the EDPRS, government assesses its own delivery structures in terms of achievements vis a vis commitment of the Government of Rwanda (GoR) and attendant policies. On the other hand, the **Development Partners Assessment Framework (DPAF)** is one used by government to track and monitor efforts of DPS in terms of commitment by DPs as well as volume and quality of aid delivered.

To achieve this, domestic accountability is well developed, in addition to the decentralised functioning of governance that facilitates accountability. Moreover, GOR and DPs have established fora for mutual accountability. Firstly, there are DPs meetings held once every 2 years, which are high level meetings attended by DPs from headquarters. Then, DP Coordination Group Meetings (Heads of Corporation and Heads of Ministries) are held, with UNPD coordinating and leading this forum on the DPs side. The government participation is led by the Ministry of Finance.

Specifically manifestations of mutual accountability practices in Rwanda can be identified in the following processes:

- DPs hold annual retreats to take stock of own and government progress and achievements vis a vis the pledges and commitments situated in various official partnership documents.
- Similarly, Government of Rwanda undertakes assessments, for example of Budget Support by the Harmonisation Group (chaired by Min Finance and Co-Chaired by rotating Ministries). The mandate is to assess micro economic performance and delivery of aid. Sector working Groups act as steering committees – and for agriculture, this committee is led by the Ministry of Agriculture with the lead DP.
- A National Stakeholders Dialogue Meeting happens once each year with district leaders signing performance contracts with the Head of State; district leaders commit themselves to achieving specific targets within a defined timeframe.
- A Presidential retreat is held where all heads of implementing agencies meet with the Head of State to discuss progress of DPs and Government's progress on mutually agreed commitments and development targets.

3.4.2 Accountability Mechanisms in Kenya (By Anne Kyele)

In Kenya, the government system of performance appraisal is based on targets in ministerial strategic plans for a fiscal year and coordinated by the Office of the Prime Minister. The National Monitoring Strategy situated in the country's vision 2030 provides the overarching frame for tracking progress. A National Stakeholders Forum for agriculture is held every 2 years where stakeholders hold government to account for the various strategy programmes. While this forum may not be currently well structured, it provides a good start to facilitate mutual accountability processes.

Monthly DP meetings for the agriculture sector are held. These have given rise quarterly meetings at a higher level with government at sector and national level.

The country has mechanisms for active participation and engagement of private sector and CSOs. For example, a tax payers association publishes data on constituency development funds and the use thereof within the context of decentralised disbursement of development aid to local governments.

3.4.3 Accountability Mechanisms in Mozambique (By Nicholas)

In all the various plans, DPs are included in the discussions including reporting on progress. 15 DPs are involved in ProAgri but some issues of contention are raised. For example, while coordination is high and strong, there are some points of unease, especially in policy and investment plan processes. The unease mainly emanates from how partners see each other's roles in the partnership. For example in sub-sector policies, DPs push for using evidence with some arguing that capacity should be first built before embarking on full-scale implementation, Government is

discussing whether or not the country should move ahead with implementation using the current capacity or build capacity first. Some DPs have agreed to work with Government on implementation using the current capacity in Government institutions, while others insist on more preparation and capacity building before implementation. Moreover, some DPs perceive Government to be a facilitator of policies while others contend that Ministries should be implementers too.

3.4.4 Synthesis of Country Presentations *(focus on Rwanda case study)*

There are several factors specific to Rwanda that facilitate strong mutual accountability processes, which factors may not be easily realised elsewhere. For example, the inherent culture of the population working together, reinforced by the small size of the country could be pivotal; it is said that most farmers belong to an association or federation. Moreover, the strong and hands-on leadership of the presidency coupled a high political commitment to development results provides a hub to spin-off key development processes, including ensuring mutual accountability. For example, the direct involvement and keen interest by the office of the President saw CAADP firmly reflected in the country's PRSP. The country used its own money to create the first CAADP round table. Another factor is the clarity of goals and understanding of specifics of what the government will deliver, as well as active participation and well communicated roles of state and non-state actors in the formulation and oversight functions (including accountability) in development processes.

4.0 KEY INDICATORS FOR MONITORING COMMITMENTS AND SPENDING OF DEVELOPMENT PARTNERS WITHIN THE CAADP IMPLEMENTATION PROCESS

(By Babatunde Omilola – IFPRI)

4.1 Why Monitor

It is important to monitor processes put in place, commitments and investments made by development partners regularly and transparently against stated targets for purposes of ensuring that they are adhered to as a prerequisite for effective delivery of mutually agreed development results. The monitoring process will also have a value addition of bringing cohesion across the different systems used by different partners to track specific components of CAADP. Moreover, it will inform the mutual, peer and progress review processes established by CAADP-PP, as well as further inform policy-making and dialogue fora.

4.2 Indicators to Monitor and Evaluate

- Indicators on commitments and spending: what is the overall level of effort invested by development partners?
 - CAADP processes, policies, institutions, investments, etc.
- Outcome indicators: what is the effect on outcomes that affect goals?
 - Yields, production, wages, prices, trade, etc.
- Impact indicators: what is the ultimate effect on goals?
 - Growth, income, poverty, food security, hunger, etc.
- Conditioning indicators: how confident are we that any observed changes is due to the intervention?
 - Total budgetary resources, climate, natural disasters, wars, etc.

4.3 Questions for Development Partners

- Delivering on commitments and achieving stated targets
 - Have commitments and targets been met so far?
- Effectiveness of interventions (processes, policies, investments)
 - How effective have different types of interventions been in any achievements realized so far? What factors have shaped the achievements?
 - What are the trade-offs and complementarities, if any, among different types of interventions?
- Consistency of planned interventions with initial targets
 - What are the projected impacts if interventions proceed as planned?
 - Are the projected impacts compatible with the CAADP targets?
 - If not, what adjustments are needed to get it on track?
- Exploring better interventions
 - Could greater or better distributed impacts be obtained by reconfiguring the interventions?
 - What are the different interventions that can lead to these outcomes?

Indicators on commitments and spending were presented, highlighting the expected outcome, defining the indicators and the attendant level of disaggregation, as well as the data and the corresponding methods of calculation. (see annex yyy)

4.4 Key Indicators in the CAADP Round Table Process:

- Credible and relevant evidence used in design of investment program
- Inclusive participation of stakeholders in program design
- Investment program aligned with CAADP principles and targets
- Investment program technically reviewed
- Mechanisms in place for implementation
- Percentage of total resources required that is committed by Actors (government, development partners, private sector)

4.5 Key Indicators for Enabling Environment (including processes, policies and institutions)

- Policies on equity (access of poor and vulnerable groups to resources, markets, food, and nutrition)
- Governance (political stability, accountability, government effectiveness, regulatory quality, rule of law, control of corruption)
- Harmonized policies and strategies
- Commitments met

4.6 Data collection, management and analysis

Key question	Tools	Data
Delivering on commitments	<ul style="list-style-type: none"> • Trends • Simple correlations 	<ul style="list-style-type: none"> • National surveys • Expert opinion surveys
Effectiveness of interventions	<ul style="list-style-type: none"> • Econometric methods • General equilibrium models 	<ul style="list-style-type: none"> • National surveys • Targeted surveys • Expert opinion surveys
Consistency with initial targets	<ul style="list-style-type: none"> • Simulation models • Participatory approaches 	<ul style="list-style-type: none"> • Assessment of effectiveness • Expert opinion surveys
Exploring better interventions	<ul style="list-style-type: none"> • Simulation models • Participatory approaches 	<ul style="list-style-type: none"> • Assessment of effectiveness and consistency • Expert opinion surveys

Find details at www.resakss.org/publications/DiscussionP4&7.pdf

5.0 GROUP WORK

Participants were placed in 3 groups and requested to discuss questions pertaining to: platforms that should be considered in the process of operationalising the MAF; how the CAADP MAF should link to other accountability mechanisms at different levels; what additional indicators are required in the CAADP M&E framework to adequately respond to MAF requirements; and the next steps in advancing the CAADP MAF agenda.

5.1 Platforms and Processes to be considered for the CAADP MAF

5.1.1 Categories of Platforms:

- **Review And Dialogue Platforms:** These should discuss the M&E report and draw conclusions regarding performance, strengths, weaknesses, remedial actions, responsibilities
 - => **Output:** MAF report
- **Recognition Platforms:** *These platforms should endorse the conclusions of the generated MAF report, including remedial actions*
 - => **Output:** endorsed MAF report

5.1.2 Categories of Stakeholders:

- Farmers organizations and other CSOs
- Leading NGOs
- Women organizations
- Private sector
- Government organs
- Development partner agencies

5.2 MAF at different levels

As a pre-requisite for genuine review and dialogue, there is need for active engagement of all stakeholders. This will require that the MAF processes explore leveraging on other platforms for state and non-state stakeholder engagement, coordination fora for DPs and UN agencies – including donor working group meetings, as well as high political / policy dialogue structures and processes. Furthermore, there will be need for all stakeholders to align their initiatives to national priorities. At DP level, there will be need to align global agreements of HQ and country DPs with CAADP.

5.2.1 Country Level

- **Review and Dialogue Platform:** inter-ministerial and inter-sectoral platforms – the equivalent of agricultural sector working group (with active participation of leading ministries; private sector, farmers' org; research institutions; CSOs; DPs etc to ensure ownership of the process). In countries that have not yet signed the CAADP Compact, the CAADP Roundtable processes can be configured to include review and dialogue.
 - => **Output:** Country MAF report
- **Recognition Platform:** Ministerial meetings with DPs
 - => **Output:** endorsed country MAF report

5.2.2 Regional Level

- **Review and Dialogue Platform:** REC Inter-ministerial meetings (on agriculture) with participation of leading regional stakeholder groups
 - => **Output:** Regional MAF report
- **Recognition Platform:** REC leadership and Regional lead CAADP DPs fora (*as well as AU summit, APF*)
 - => **OUTPUT:** Endorsed Regional MAF report

5.2.3 Continental Level:

- **Review and Dialogue Platform:** *Pre-PP meetings (DPs and Africans), results of the consultation presented and discussed at general session of CAADP partnership platform*
=> **output:** continental MAF report
- **Recognition Platform:** Business session of CAADP partnership platform - explore with AUC the best options for approval of continental MAF report at AU level. Consider possibility for the MAF report to be submitted to the APF, Conference of ministers for agriculture and / or at the AU Summit.
- - => **output:** endorsed continental MAF report (PP standing committee may decide whether 1 day between plenary and business meeting is necessary to pull the results together).

5.2.4 Supra-Continental Level

Recognition Platform: AU will take the MAF reports to higher fora, such as the African Platform, APRM on the African side, while DPs use it to feed in higher political fora like the G8 group.

5.3.0 The Next Steps for the CAADP MAF

5.3.1 MAF Process Management:

Outsource management of process to third party entity to work under the supervision of a dedicated MAF task team to be established under an expanded CAADP PP Joint Standing Committee (constituted by representatives of DPs, RECs, pillar institutions, ReSAKSS, CSO, AUC / NPCA) with NPCA providing the secretariat as well as playing a greater coordinating role.

- **Next Steps:**

- Validate DP performance indicators
- Include MAF indicators into CAADP ReSAKSS M&E framework
- Revise MAF framework for finalization
- Clear targets are set for each partner, and progress towards the targets is tracked, including tracking resource expenditure
- Pilot MAF in 1 country and 1 REC & prepare an “early” progress report for the 7th PP
- Agree composition of, and engage stakeholder coalitions (at country, regional and continental levels) to “interrogate” the M&E reports and develop MAF reports
- Submit the MAF to CAADP PP for discussion and endorsement by AUC/NPCA
- Launch MAF implementation immediately after the 7th CAADP PP
- Present first continental CAADP MAF report at the 8th PP
- AUC/NPCA to take the MAF report to APF and beyond
- CAADP DPs to take MAF report to GDPRD and beyond
- Current MAF Team (currently comprised of reps from NPCA, FARA and DfID) to continue. Its composition will be expanded to include a representative from IFPRI / ReSAKSS
- Forge links between CAADP MAF and other accountability mechanisms especially at regional and global levels

5.3.2 MAF within CAADP PP

- Use general meeting of the PP as review and dialogue forum
- Use business meeting as recognition forum
- Define key participants at business meeting (AUC, NPCA, RECS, leading DPs, Pan African farmers union, lead NGO/CSO, private sector, pillar institutions, 2 representatives of country CAADP focal persons)
- Specify MAF item on the agenda of the business meeting

5.4 PROPOSED ADDITIONAL INDICATORS

5.4.1 DP PERFORMANCE INDICATORS (INCLUDING UN AGENCIES)

- Total ODA to countries implementing CAADP
- Share of ODA going to agriculture
- Percentage of budget spent on agriculture
- Share of Ag ODA aligned to investment plans
- Share of ODA disbursed according to agreed schedules
- Share of portfolio of multilateral development banks that is aligned to investment plans
- Share of technical assistance resources by UN agencies aligned to investment plans
- Share of DPs using the CAADP M&E framework, the CAADP M&E report, and the MAF report to assess and report on assistance for agricultural development and food security
- Timeliness of disbursements
- % of commitments disbursed
- Progress towards goals agreed on by AWG and gov for projects and programmes
- Coordination across DPs on national priorities

5.4.2 Additional Indicators for Countries

- Absorptive and institutional capacities for managing funds
- Active engagement and accountability of domestic stakeholders
- Functional Structures/platforms for regular stakeholder engagement – including civil society, private sector, DPs (state and non-state actors)

5.4.3 Additional Indicators for RECs

- Coordination and active engagement of countries, DPs, UN agencies in MAF
- Clear targets set for each partner
- Progress towards targets on various programmes (programme specific but aligned with the national priorities)
- Effective coordination and facilitation of harmonised policies, strategies, protocols and regulations e.g. Harmonisation of SPS measures and non tariff barriers, and emergency preparedness
- Has the REC built regional capacity on key issues?
- Progress in implementation of policies, decisions etc
- Coordination of Development assistance and alignment to regional priorities
- Effective communication of Regional decisions to all decision makers and stakeholders in countries

6.0 Highlights of the Communiqué

At the end of the workshop, participants collectively developed a communiqué taking cognizance of key processes as well as outlining salient issues and actions that need to be taken into consideration as a way of advancing the CAADP MAF agenda.

The communiqué made reference to the mandate provided by the 5th CAADP PP for a Task Team to develop a CAADP MAF. Subsequently, it recognises the efforts made in developing a comprehensive draft MAF. Furthermore, three major levels where the MAF will be pitched are cited, namely: continental; regional; and country level. Relatedly, the need to leverage on existing accountability platforms and mechanisms at the different levels is emphasized, with M&E reports providing the basis for discussions and debate on stakeholder performance on areas of mutual commitments. To this end, the communiqué notes the need for, and makes reference to proposed additional indicators to ensure that the M&E Framework provides adequate evidence for review, dialogue, debate and subsequent recognition of stakeholders' performance.

As part of the implementation of the MAF, pilots are proposed in a few RECs and countries, with an independent entity recommended to facilitate the generation of MAF reports. On the basis of the progress in the pilots, the Task Team and the CAADP Joint Standing Committee will prepare and present the first MAF report to the 8th CAADP PP. Moreover, the communiqué calls upon AUC to introduce the continental CAADP MAF reports at its relevant organs. Similarly, Development Partners are called upon to present and discuss the CAADP MAF within the membership of the Global Donor Platform and at other relevant global fora.

6.1 Concluding Remarks

The workshop was closed by Dr Yemi Akinbamijo (AUC) who thanked participants for their active participation and invaluable technical input into the CAADP MAF processes. He highlighted some of the key milestones of the workshop vis a vis the workshop objectives and participant's expectations; firstly, the MAF has been validated by a range of CAADP stakeholders. Moreover, there is now much greater clarity and understanding of the CAADP MAF, including its linkages with the CAADP M&E Framework. Furthermore, there is general agreement on the broad roadmap for implementation of the CAADP MAF.

Participants were called upon to provide unwavering support to the CAADP processes and specifically to commit themselves and their institutions to the CAADP MAF implementation.

The workshop was closed at 13:30pm on 03 August 2010.

Annex 1

List of Participants

Name	Organization	Email Address
Martin Bwalya	NPCA	bwalyam@nepad.org
Simon Kisira	NPCA	simon.kisira.mukisa@gmail.com
Komla Bissi	NPCA	komlab@nepad.org
Bankole Adeoye	NPCA	bankolea@nepad.org
Leonard Oruko	FARA/Pillar 4	loruko@fara-africa.org
Babatunde Omilolola	IFPRI/ReSAKKS	B.Omilola@cgiar.org
Ousmane Badiane	IFPRI	O.Badiane@cgiar.org
Martha Byanyima	COMESA	mbyanyima@comesa.int
Elijah Phiri	University of Zambia/Pillar 1	ephiri62@yahoo.com
Nicholas Sabwa	CMAWCA/Pillar 2	nsabwa@cmaoc.org
Nelson Ijumba	University of KwaZulu Natal/Pillar 3	DVCREsearch@ukzn.ac.za
Degratius Jaganyi	University of KwaZulu Natal/Pillar 3	BanardC@ukzn.ac.za
Sonja Palm	Global Donor Platform/Development Partners CAADP Task Team	Sonja.Palm@gtz.de
Lindiwe Sibanda	FANRPAN	lsibanda@fanrpan.org secretary@fanrpan.org
Pius Chilonda	ReSAKKS Southern Africa	P.Chilonda@cgiar.org
Joseph Karugia	ReSAKKS East Africa	J.Karugia@cgiar.org l.kirori@cgiar.org
Peter Wandawasi	APRM	PeterW3@dbsa.org
Keizire Boaz	DREA/AUC	KeizireB@africa-union.org
Anne Chele	Kenya	annechele@ascu.go.ke
Yemi Akinbamijo	DREA/AUC	AkinbamijoY@africa-union.org
Claude Bizimana	Country SAKKS node – Rwanda	claude.bizimana@gmail.com
Samuel Mugarura	Country SAKKS node – Uganda	sammugr@yahoo.co.uk
Helder Gemo	Country SAKKS node – Mozambique	H.Gemo@cgiar.org
Ian Randall	DFID	ian@wasafiriconsulting.com
Benito Elias	SACAU	Benito.Eliasi@sacau.org
Lynette Chen	NEPAD Business Foundation Private Sector Regional Level	Lynette.Chen@thenbf.co.za
Sheryl Hendriks	University of Pretoria	Sheryl.Hendriks@up.ac.za
Ellen Hagerman	CIDA	Ellen.Hagerman@international.gc.ca

Annex 2:

CAADP Mutual Accountability Framework: Stakeholder Validation Workshop

**2nd -3rd August 2010
Hyatt Regency Hotel- Johannesburg South Africa
Communiqué**

1. At the 5th CAADP PP, a call was made for the Mutual Accountability task team to develop and present a Mutual Accountability Framework (MAF) for endorsement by the 6th CAADP PP. In light of this, the task team developed and presented a draft MAF which was broadly welcomed with limited comments but was not endorsed as envisaged. This was mainly because the MAF was not presented at the Business meeting for endorsement but was only used as a lesson learning exercise. The limited comments received, among other things, were interpreted to mean that the framework needed broader in-depth stakeholder consultation and validation.

2. Considering that a CAADP Monitoring and Evaluation (M&E) Framework was completed and endorsed by the 6th CAADP PP, a MAF stakeholder validation meeting was, therefore, called at the Hyatt Regency in Johannesburg between the 2nd and 3rd of August 2010 to; among other things; (i) validate the draft CAADP MAF (ii) establish a clear link between M&E framework and the MAF; (iii) devise means of how these must support each other; and (iv) develop a roadmap with actions and next steps in the application of the MAF.

3. The meeting was attended by representatives from the African Union Commission (AUC); NEPAD Planning and Coordinating Agency (NPCA); Regional Strategic Analysis and Knowledge Support System (ReSAKSS); International Food Policy Research Institute (IFPRI); Pillar Institutions; Regional Economic Communities (RECs); Civil Society, Regional Farmer Organisations, representatives from selected Member States; and Development Partners.

4. The meeting was opened with a statement from the head of CAADP at NPCA; a clarification on the objectives of the meeting and the principles, targets and the actual MAF. Participants provided own expectations of the meeting for inclusiveness and dialogue. Participants were further provided with, and exchanged discussions on, examples of Mutual Accountability mechanisms at global, regional and country levels.

5. Participants appreciated the efforts put in further developing the draft MAF by the Task Force and commended the team for the comprehensiveness of the draft. Participants took note that the MAF benefits from, and is largely informed by, the CAADP Monitoring and Evaluation Framework.

6. The meeting discussed and agreed on continental, regional and country-based platforms and process for Mutual accountability. The meeting noted that the CAADP M&E report is a primary input for the stakeholder consultations that are required for Mutual Accountability under CAADP. The meeting further noted that while the M&E report will provide the evidence on overall performance, review of results by various stakeholders, will generate the Mutual Accountability reports. The Mutual Accountability reports will, therefore, provide a basis for discussions and debate on stakeholder performance on areas of mutual commitments. The meeting noted that the Mutual Accountability reports will be presented at, and endorsed by, different levels of accountability platforms. For country level, this should be an equivalent of country Agriculture Sector Working Group (AgSWG) or the annual sector annual review meetings but with inclusion

of all stakeholders. At regional level, it should be the inter-Ministerial Meetings. At continental level, the general session of the CAADP PP will serve as a platform for review and dialogue and the business meeting as a platform for recognition. The Mutual Accountability reports will be discussed at African and Development Partner stakeholders CAADP pre-PP meetings. For this purpose, it is recommended that the CAADP PP ToR be revised and strengthened to transform the PP into a platform for Mutual Accountability.

7. Participants noted that the core list of indicators detailed in the M&E framework is not comprehensive enough to capture all the Mutual Accountability reporting requirements. The meeting proposed additional commitment, ownership and progress indicators for Development Partners, UN agencies, RECs, Governments, CSOs, private sector, and citizens to be integrated in the M&E and MAF frameworks. The meeting further called upon ReSAKSS to further engage with RECs as called up by paragraph 31 of the 6th CAADP PP communiqué as part of the operationalisation of the MAF.

8. As part of the next steps, the meeting proposed a roll-out or to pilot the framework in one to two (1-2) RECs and three to four (3-4) countries as part of its implementation. The meeting further proposed that the leadership and oversight roles should be with the CAADP PP joint standing committee which is facilitated by AUC and NPCA. The meeting recommends that in the short and medium term, an independent entity be recruited to facilitate the generation of the MAF reports. The meeting proposed to expand the current MAF task force and to work with ReSAKSS and the CAADP PP joint standing committee to operationalize the MAF roadmap. The task force will finalize and present the MAF at the 7th pre and CAAD PP. The Task force and joint standing committee will develop the first continental Mutual Accountability report for presentation at the 8th CAADP PP. The meeting tasked the Task Force and NPCA to ensure that the revised framework is shared with all CAADP stakeholders, including Development Partners, before presentation for endorsement at the 7th CAADP PP.

9. Participants discussed and proposed the strengthening of the linkages between MAF and other review and accountability mechanisms in particular the Public Expenditure Reviews (PERs), Africa Peer Review Mechanism (APRM) and joint sector reviews. From the African perspective, the meeting recommended that AUC introduces the continental MAF reports at its relevant organs (AU Summits, Ministerial etc), APF, and any other relevant fora. For the DPs, the MAF reports will be presented and discussed within the Global Donor Platform Membership and disseminated at relevant Development Partners at global fora (G-8 and G-20).

END