



CAADP



Country **CAADP**
Implementation Guidelines
under the **Malabo Declaration**



Preface

These guidelines are based on a long participatory process that absorbed information from a range of studies, meetings, country visits and events. The following have been major stepping-stones:

- CAADP: Sustaining the Momentum into the next decade: This exercise was carried out in 2012 and summarised the lessons from the first ten years of CAADP implementation;
- NEPAD Workshop in April 2014 on the review of the CAADP Implementation Guidelines;
- Country CAADP Implementation - Embracing Malabo: A simple Implementer's Guide: a first version of new guidelines introducing the four country components used also in this guide;
- NEPAD Workshop on 17 and 18 December 2015 presenting an early version of the guidelines;
- CAADP and Country Systems Study: Country studies in Malawi, Rwanda, Cameroon, Tunis and Burkina Faso on how CAADP is embedded in domestic systems and procedures, especially planning and budgeting procedures;
- A NAIP Appraisal: Country case studies in Malawi, Tanzania, Togo and Burundi, assessing the NAIP, in particular with regard to how successful these have been in attracting private investment;
- Discussions on the CAADP and Country Systems Study and the NAIP Appraisal in a series of NEPAD meetings: NEPAD staff and CAADP stakeholders in Magaliesberg (07 August 2015); NEPAD and GIZ staff in Pretoria (9 November 2015); and CAADP Development Partners Task Team in Bonn (12 February 2016);
- The AUC Agriculture Permanent Secretary Retreat in Accra, Ghana in March 2016;
- Finally, the 12th CAADP Partnership Platform held from 12 to 14 April 2016 in Accra, Ghana.

The guidelines also take account of the following core CAADP instruments:

- The CAADP Results Framework 2015–2025, April 2015
- The Malabo Declaration Implementation Strategy & Roadmap, 2015-2025,
- The Programme of Work: operationalizing the Malabo Declaration on African Agriculture and the CAADP Implementation Strategy and Roadmap (2015)
- The NEPAD Biennial Review Guidelines (2016)

CAADP Core instruments provided both the foundation as well as the skeleton for these guidelines, the Malabo Declaration indicated the direction and, finally, the country experiences assembled through the Country Systems study and the NAIP appraisal put flesh on the bones of the structure.

We thank the countries visited for being so frank in discussing their NAIPs and the challenges in their implementation. We also thank the many CAADP stakeholders who asked critical questions and made important contributions that guided the writing of this document. We intend these to be 'living guidelines' that will be accompanied by follow-up information in the form of Technical Notes such as on market regulation, price control, input subsidies but also on management tools as the Medium Term Expenditure Framework, Agriculture Public Expenditure Review, Performance Assessment Framework.

Themes of the Technical Notes will be selected depending on country demand. Comments on these guidelines or suggestions for Technical Notes are welcome and can be sent to **Dr Augustin Wambo Yamdjeu, Head of CAADP** (AugustinW@nepad.org).

Abbreviations

AgPER	Agriculture Public Expenditure Review
ASLM	Agriculture Sector Lead Ministries
AU	Africa Union
AUC	Africa Union Commission
BR	Biennial Review
CAADP	Comprehensive African Agriculture Development Programme
CAADP RF	CAADP Results Framework
CCA	Country Cooperation Agreements
CD	Capacity Development
CoC	Code of Conduct
D-PAF	Development Partner-Performance Assessment Framework
DP	Development Partner
DREA	Department for Rural Economy and Agriculture
S&G	Standards and Grades
JAS	Joint Assistance Strategy
JSR	Joint Sector Review
M&E	Monitoring and Evaluation
MD	Malabo Declaration
MoU	Memorandum of Understanding
MTEF	Medium Term Expenditure Framework
NAFSIP	National Agriculture, Food and Security Investment Plan
NAIP	National Agriculture Investment Plan
NDP	National Development Plan
NEPAD	New Partnership for Africa's Development
PAF	Performance Assistance Framework
PEFA	Public Expenditure and Financial Accountability
PFM	Public Finance Management
REC	Regional Economic Community
SAKSS	Strategic Analysis Knowledge Support System
SDG	Sustainable Development Goal
SPS	Sanitary and Phyto-sanitary
SWAP	Sector Wide Approach

Table of contents

1	From Maputo to Malabo and beyond	4
2	Introduction to the guidelines	6
2.1	Implementing for results	7
2.2	CAADP Country Implementation components	8
3	Domesticating the Malabo Declaration	11
3.1	Anchoring Malabo commitments in national instruments	11
3.2	Milestone and Deliverables	12
4	NAIP Appraisal and Formulation	14
4.1	Purpose and scope of the NAIP	15
4.2	Policy & Planning	17
4.3	Finance & Investment	20
4.4	Coordination & Cooperation	22
4.5	Monitoring & Accountability	24
4.6	Internalising the CAADP Results Framework	27
4.7	Milestone and Deliverables	28
5	NAIP Implementation	31
5.1	Policy & Planning	32
5.2	Finance & Investment	33
5.3	Coordination & Cooperation	34
5.4	Monitoring & Accountability	35
5.5	Milestone and Deliverables	35
6	Mutual accountability under the Malabo Declaration	38
6.1	Biennial Review	38
6.2	Performance Areas	38
6.3	Impact of the Biennial Review on the CAADP Process	39
6.4	Time-line for the Biennial Review	40
6.5	Milestone and Deliverables	40
7	Conclusion	41
Annex 1	Further support instruments for Country CAADP Implementation	42
Annex 2	CAADP Results Framework	44
Annex 3	Overview of the Malabo Declaration Commitments	45
Annex 4	Link CAADP Results Framework and Malabo Declaration	46
Annex 5	NAIP Appraisal checklist and ToolKit	47
Annex 6	Comparison between the Agriculture SWAP and the NAIP	52
Annex 7	National Development Plans and NAIPs	53
Annex 8	Biennial Review Time-line	54
Annex 9	Join Sector Review (JSR) Guidelines	55

1. *From Maputo to Malabo and beyond*

The 2nd Africa Union Assembly held in Maputo, Mozambique in July 2003, signed a declaration on Agriculture and Food Security. This **Maputo Declaration** called for a pan-African flagship programme of the New Partnership for Africa's Development (NEPAD): the Comprehensive African Agriculture Development Programme (CAADP). CAADP was seen as the vehicle to stimulate production and bring about food security among the populations of the continent. Today, the Maputo Declaration is remembered mostly for its commitment to allocate at least 10% of the national budget to agriculture in order to achieve 6% growth of the agriculture economy.

In 2013, NEPAD conducted an exercise that looked back at ten years of CAADP implementation (*Sustaining the Momentum of CAADP*). Many achievements could be reported:

- Agriculture had risen to the top of the political agenda, not only in Africa but also wider internationally and among development partners. A total of 40 countries had signed a CAADP Compact and two thirds of those had formulated a National Agriculture Investment Plan (NAIP) or a National Agriculture and Food Security Investment Plan (NAFSIP)¹.
- A positive finding of the CAADP Review was that clear plans based on domestic growth potential (informed by the CAADP stocktaking studies) did lead to increased investments to the sector, even if, in many countries, this has not yet reached the 10% pledged in Maputo.
- Progress towards achieving the 6% of agriculture growth was also evident, but much variation between countries is observed. In general, agriculture growth has not been equitable enough, as is indicated by stubbornly high food insecurity, stunting and poverty levels. In addition, the review of CAADP showed that agriculture growth was achieved mainly by an increase in area under cultivation rather than by an increase in productivity per unit of land.

To what extent ten years of CAADP resulted in increased private investment in agriculture, was maybe the most difficult to establish. Information on private investment is often scant and scattered, especially concerning investments by small and medium (domestic) enterprises. But even if NAIPs may not have significantly increased private investments in agriculture, it at least has become evident that such investment is needed to stimulate and sustain agriculture growth.

A further, and maybe more general realisation from the Maputo decade was that not all that is needed for agriculture growth to happen takes place in the agriculture sector or is within the mandate of the Ministry of Agriculture. Implementation under CAADP made it clear that Ministries of Agriculture cannot force Ministries of Finance to commit 10% of public funds to agriculture; Similarly, for investment to happen, an encouraging business environment needs to be in place that includes conditions like attractive interest rates and favourable import and export regulations; conditions that cannot be created by the Ministry of Agriculture, or for the agriculture sector alone.

Thus, in June 2014, as Heads of State came together in Malabo for the 23rd AU Assembly, they reiterated that agriculture and food security was still at the top of their agenda. But this time around, they cast their view also to beyond the sector, in the hope of more effectively addressing the obstacles that continue to beset agriculture growth.

The **Malabo Declaration on Accelerated Agricultural Growth and Transformation for Shared Prosperity and Improved Livelihoods** reaffirms the central commitment of the Maputo era, namely to allocate 10% of public resources to agriculture. It also specifies more clearly a range of commitments in agriculture, such as increased irrigation and mechanisation or in the form of curtailing post-harvest losses. So, in contrast to the Maputo Declaration, it contains many more commitments in areas like infrastructure, natural resources, land tenure, trade and nutrition. These areas are important to agriculture, but they are not (completely) under the mandate of the Ministry of Agriculture.

Thus, the Malabo Declaration is wider than its predecessor; at the same time though, it continues to view CAADP as the main vehicle for implementation of its commitments, as was the case in Maputo.

A Malabo Declaration that is wider than that of Maputo changes the scope of the CAADP agenda, which can now be divided into the following phases: A rather more single-sectoral **Maputo** CAADP and a more clearly multi-sectoral **Malabo** CAADP. Of course, the Maputo Declaration dealt not exclusively with agriculture, as it too was also about food security. However, implementation of that declaration did tend to focus on the Ministry of Agriculture and its mandate in the sector. So in some ways, one can speak of a 'single-actor focused' Maputo versus a multi-actor based Malabo CAADP.

Key changes introduced by the Malabo-based CAADP Agenda are:

- CAADP continues to focus on the agriculture sector, but now also needs to take account of areas in related sectors that are required for agriculture growth;
- More inter-sectoral cooperation and coordination is necessary and should be fostered through suitable and effective coordination mechanisms;
- The need for inter-sectoral cooperation under CAADP increases the role of central government agencies in CAADP country implementation, in particular that of Ministries of Finance and Planning, or National Planning Commissions;
- The NAIP remains the key vehicle towards achieving the Malabo Declaration targets, but the NAIP can no longer be regarded as the only vehicle for achieving these targets, depending as it does on other implementation frameworks to deliver;
- The emphasis on implementation, results and impact is increased: While the Maputo-CAADP era was about setting up the architecture of the process and its milestones (compact, NAIP, business meeting), the Malabo-CAADP era must now build on that foundation and ensure that it delivers on Malabo targets as well as against the other national development targets.

To ensure that the emphasis on delivery does not remain an empty promise, Heads of State have agreed to a Biennial Review, at which progress of each individual country is measured in alternating years and against all that the Malabo Declaration is committed to achieve.

2 *Introduction to the guidelines*

These guidelines are not prescriptive. The challenges in agriculture are different for every country; and in each country responsibilities are allocated in a different way: Ministries of Agriculture can be responsible also for livestock & fisheries, for water & irrigation, for natural resources, for rural development, for forestry. Sometimes these responsibilities are allocated to other ministries. Further, there are wide variations between countries regards the strength and level of organisation of the private sector: There can be an absolute dominance by big businesses with scattered small investors struggling to get a foothold. In other cases, some value chains are strongly organised with other value chains just loosely connected. Non-state actors can be aware, alert and articulate, or they can be poorly informed, subdued and silent.

This extreme heterogeneity of the agriculture sector is what makes development of this sector so challenging, but at the same time so interesting. The agriculture sector cannot be developed in a supply-driven manner, as may be the case for health or education sectors. The building and staffing of schools and hospitals goes a long way to ensure education and health. But agricultural growth cannot be bought: Public funding alone cannot ensure agriculture growth in a sustainable manner, unless that public funding is of a kind that supports (and does not stifle) the private sector and is of a quality that stimulates and catalyses equitable and inclusive agriculture growth.

CAADP has added most value where it was used in a flexible manner to strengthen institutional and systemic capacity. The principles of CAADP, such as evidence based planning and inclusive planning processes, can be applied to all systems and the CAADP purpose of stimulating private sector driven and equitable agriculture growth, can be adopted by all countries. These guidelines are about sharing good practices to help mainstream these CAADP principles and practices. To reflect the changes brought on board by the Malabo Declaration, these country implementation guidelines incorporate:

- A perspective beyond agriculture
- An emphasis on implementation, delivery and results
- A renewed look at how to stimulate private investment and private sector growth

The guidelines can be used:

- In countries that are in the course of NAIP in implementation
- In countries that are about to formulate a new NAIP phase
- In countries that are planning their first NAIP

The guidelines were written for those responsible for country CAADP implementation, such as CAADP Focal Points and CAADP Country Teams, Ministries of Agriculture, other agriculture relevant ministries and Ministries of Planning and Finance. However, the guide will also be useful to the wider group of CAADP stakeholders that may include: Non State Actors such as farmer organisations, commodity associations, civil society, lobby and watchdog organisations; the commercial private sector and those supporting in-country as well as overall CAADP implementation such as NPCA AUC-DREA; Regional Economic Communities (RECs); and Development Partners.

The guidelines will be accompanied by a series of Technical Notes that offer in-depth and up to date information on ideas and concepts introduced in these guidelines. Further instruments that support CAADP and NAIP implementation at country level include Technical Networks and a NAIP Appraisal ToolKit focusing on methods for measuring targets and milestones. Annex 1 has a summary.

2.1 Implementing for results

As mentioned in the first chapter, the Malabo Declaration introduces a much stronger and clearer focus on delivery and results. Even during the ‘Maputo-era’ individual NAIPs have been successful, but across the continent as a whole, delivery and results have been below expectations. Several studies have looked at the reasons for more or less successful implementation of NAIPs, and these guidelines were built around those findings.

Today, the CAADP process is no longer ‘just’ about implementing a NAIP, it is about successfully implementing a NAIP in the context of other programmes relevant to agriculture, all coordinated and aligned to the Malabo commitments, translated into national policy and planning instruments. This is a tall order but one that has to be taken seriously if the Malabo commitments are to be reached.

CAADP Results Framework

The CAADP Results Framework (CAADP RF) is the overarching framework for the CAADP Agenda also under the Malabo Declaration (annex 2). The CAADP RF distinguishes three levels of objectives:

	Results aimed for	Type of indicator
Level 1	Impact to which agriculture contributes reflects the ultimate impact objectives aimed for by the successful implementation of CAADP in the context of the Malabo Declaration	Impact
Level 2	Changes in agriculture from CAADP implementation: refers to outcomes as a result of the successful delivery by National Agriculture Investment Programmes and other programme frameworks relevant to Malabo. These are strategic and policy actions areas where transformation must materialise.	Outcome
Level 3	Added value of CAADP refers to the outputs needed, in terms of systemic capacity, to create the policy, financial and institutional environment that enables successful, coordinated implementation of the NAIPs and other relevant programmes	Output

The Guidelines offer advice regards the strengthening of institutional, systemic and transformational capacities that are the foundation of successful CAADP implementation. Thus, these guidelines relate mostly to **Level 3** of the CAADP RF, in other words: The added value of CAADP to the country's national efforts to transform its agriculture sector.

Successful implementation of NAIPs should lead to the results aimed for in **levels 2 and 1** of the CAADP RF, namely NAIPs implemented in coordination with other relevant agriculture programmes in such a way that private investment to the sector in agriculture production, agri-businesses and agro-industry leads to sustainable and equal growth.

Monitoring whether this is the case is the responsibility of the country with regard to national levels. Countries will have their own instruments for monitoring agriculture programmes to serve the sector's planning and management needs. Under the Malabo Declaration, some of this information needs to be fed upwards to continental level for use in the Biennial Review process.

Regional Economic Communities (RECs) are responsible for monitoring progress against Malabo targets at regional level. The Biennial Review at continental level looks at results (Level 2) and impact (Level 1). The Biennial Review will thus use data provided by countries and RECs (see chapter 6).

2.2 CAADP Country Implementation components

The Malabo Declaration must become more than a signed piece of paper. The declaration has the potential to transform agriculture, as well as change the way this transformation is pursued, with its commitment to strengthen partnerships with farmers, producers and civil society and its emphasis on private investment, agri-business and agro-industries. Whether these promises turn into practice, depends on a country's leadership and its ability to drive implementation. To help it happen, two phases are added to the CAADP country implementation:

- At the start, the Malabo Declaration commitments have to be adopted and mainstreamed by countries, to ensure that the basis for coordinated action at country level is given;
- At the end, progress against these overarching targets has to be measured.

In between these two phases the NAIPs continue to be at the core, but in its entirety the CAADP process must ensure that:

- NAIPs are formulated and implemented in coordination with other programmes so that together these can address and fulfil all the Malabo Declaration commitments
- NAIPs and other relevant programmes are aligned, not only to national overall development goals but also to the Malabo Declaration
- Progress is monitored with respect to national goals and against Malabo Declaration targets

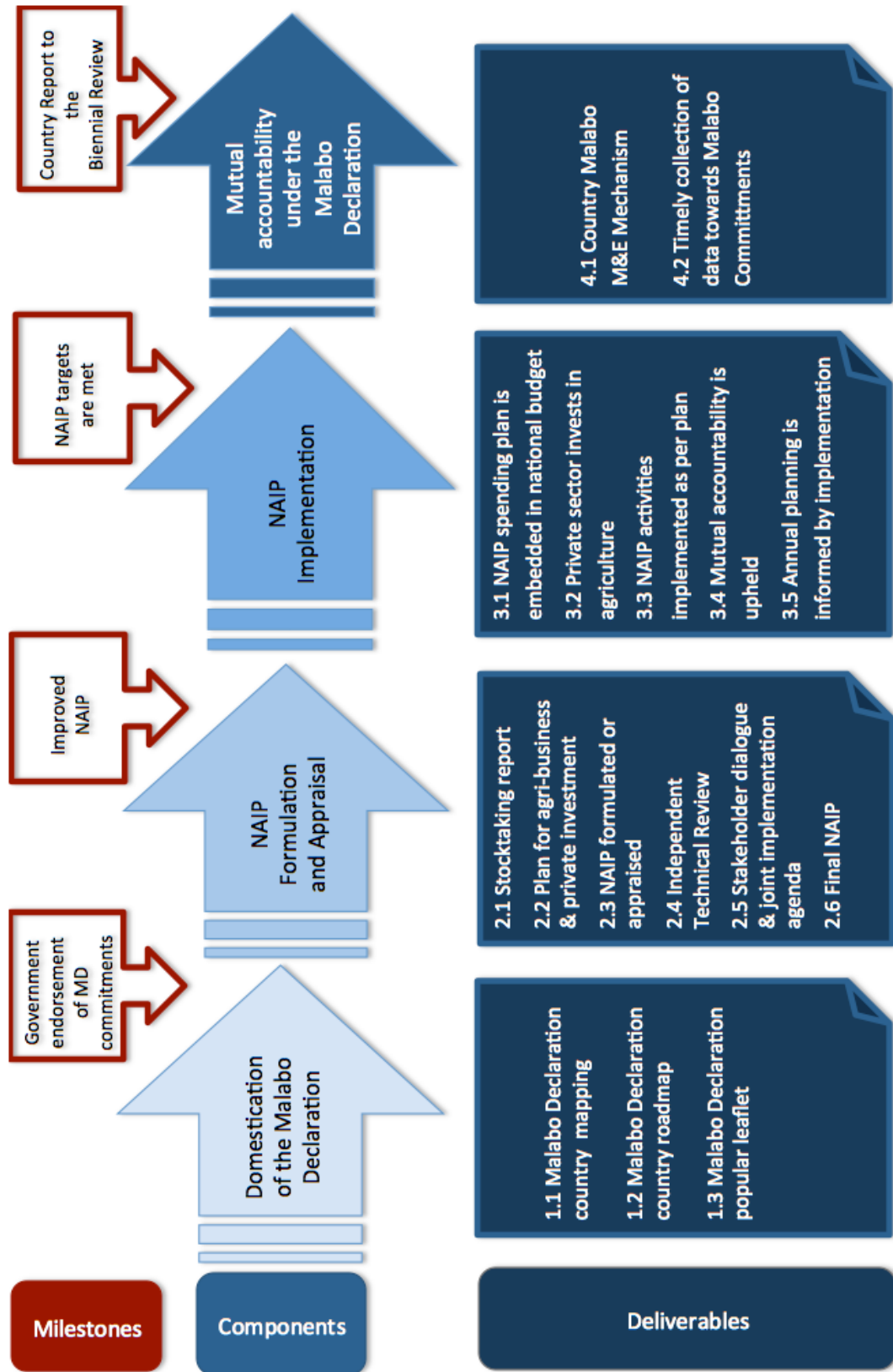
Thus, country CAADP implementation can now be divided into four components (see also fig 1):

New	1	Domesticating the Malabo Declaration commitments: Countries design a strategy for translating the Malabo commitments into action.
Core Components	2	NAIP Appraisal (or Formulation): The appraisal is an analysis of the on-going NAIP, its strengths and weaknesses, including an action plan to overcome weaknesses in implementation. For countries that are about to formulate a further phase of their NAIP, this subsequent NAIP offers an opportunity to do things differently. Countries that are yet to formulate their first NAIP will use this component to ensure that the NAIP content is relevant to stimulate private investment and to create an enabling environment for NAIP implementation.
	3	NAIP Implementation: This is the core component, where delivery against a plan and towards overarching objectives has to be ensured to produce the expected results and impact.
New	4	Mutual Accountability: this is the component that allow for review and dialogue on the implementation of the NAIP, through agricultural joint sector reviews (JSRs). The outcome of the JSRs will inform the Biennial Review whereby countries are held accountable with regard to their progress against Malabo commitments.

These components form the basic structure of consecutive chapters of the guidelines: Each chapter mentions the milestone to be reached and the main ‘deliverables’ that reinforce this component.

Milestones (e.g. government endorsement of the Malabo Declaration) are mandatory steps in the process, but the deliverables that underpin the reaching of that milestone (e.g. Sector Performance Review) to some extent depend on country contexts and country instruments. The deliverables that have proven to be helpful are listed as a guide. Figure 1 presents an overview.

Figure 1 CAADP Country Implementation under the Malabo Declaration



3 Domesticating the Malabo Declaration

Milestone	<i>Government endorsement of the Malabo Declaration commitments</i>
Deliverables	A Malabo Declaration country mapping of current implementation against the Malabo Declaration commitments, identifying major gaps to fulfil alignment
	A Malabo Declaration country roadmap as a strategy towards closing the gaps, ironing out conflicts and improving coordination across programmes
	A Malabo Declaration popular leaflet explaining the declaration to its beneficiaries such as farmers, producers, entrepreneurs, women and youth

The Malabo Declaration commitments were drawn up after a participatory consultation process and were signed by signed by Heads of State (annex 3). It is worth to note that the Malabo targets are in alignment with global agriculture targets of the Sustainable Development Goals (SDGs), with a more ambitious Malabo horizon of 2025 while the SDGs are set for 2030.

Heads of State agree to be held accountable and the mechanism they chose is that of a Biennial Review. NPCA is responsible for the technical coordination of that review and reporting is to the Africa Union Commission (AUC). Reporting by individual countries to the Biennial Review starts January 2018, and continues until 2025. This gives momentum to a tangible delivery against targets.

3.1 Anchoring Malabo commitments in national instruments

For country-level agriculture frameworks, such as the NAIP, to be aligned to Malabo, its pan-African commitments first have to be enshrined in national instruments, to which sector instruments can then be aligned (such as country specific National Development Plans or Vision documents).

Translating the Malabo commitments into country level action requires the following steps:

- 1. Formal adoption:** The commitments and targets must be officially adopted and integrated by Government and made widely known to agricultural stakeholders across the country.
- 2. Assessment of coverage:** Country stakeholders must assess to what extent the Malabo Declaration commitments are addressed by existing frameworks. Such frameworks will consist of a range of policies, strategies and programmes. At the national level these can include long-term country Vision documents and medium-term National Development Plans. In the agriculture sector this can include an Agriculture Sector Strategy (if the country has one), the NAIP and other Malabo/ Agriculture relevant plans and programmes.

3. **Identification of gaps:** The assessment of existing Malabo Declaration coverage described above enables as a next step the identification of gaps, meaning where the complement of existing programmes still falls short of addressing and reaching Malabo targets.
4. **Drawing up a Malabo Declaration country roadmap:** Finally, based on all of the above, the action required to fill the gaps identified should be spelled out. Should the NAIP be expanded, or is there a need for complementary programmes (which may include required action within but also outside the Ministry of Agriculture’s mandate)?

The CAADP Results Framework can act as a bridge between the Malabo Declaration and country CAADP implementation. Annex 4 links the Malabo Declaration to the CAADP RF. The link from the CAADP RF to the country level is via the country specific NAIP and its CAADP process.

3.2 Milestone and Deliverables

Government endorsement of the Malabo Declaration is the milestone of this first country CAADP implementation component. Deliverables that create a foundation for implementation are:

Malabo Declaration country mapping

Country stakeholders have assessed the extent to which Malabo Declaration commitments are addressed by policies, strategies and programmes already under implementation (National Development Plans, NAIPs and other relevant plans, programmes and projects). This ‘mapping’ can be in the form of a matrix, with the Malabo commitments down one axis, and programme frameworks across the other. Each framework (plan, programme, and project) is likely to address more than one Malabo commitment, and so it would then be a case of ticking off the commitments for each framework (see figure 2).

	<i>National Strategies and/or Programmes</i>						
<i>Malabo Commitments</i>	<i>NDP</i>	<i>NAIP</i>	<i>Nutrition</i>	<i>Trade</i>	<i>Employment</i>	<i>Environment</i>	<i>Other</i>
1. Recommit to CAADP		<input type="checkbox"/>					
2. Recommit to agric.finance		<input type="checkbox"/>					
3. End hunger	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
4. Half poverty	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>		
5. Boost intra-African trade	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>			
6. Enhance resilience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
7. Mutual accountability		<input type="checkbox"/>					




Figure 2 Example of a Malabo Declaration Country Mapping It is worth referring to the original version of the Malabo Declaration (not just the summary), as the seven core commitments are further broken down into 22 'sub-level' commitments. This overview can then be a basis also for further analysis such as an identification of gaps in coverage, or the location of potential conflicts (e.g. when programmes pursue contradictory objectives, such as the issuing of mineral exploitation licenses by the Ministry of Mines versus a securing of land tenure by the Ministry of Lands or Agriculture).

Malabo Declaration country roadmap

This is based on the exercise above and consists of a forward-looking strategy towards closing the gaps, ironing out conflicts and improving coordination across programmes. The roadmap stands most chance of being successfully implemented when it is designed in a participatory manner (where necessary moderated by a facilitator).

Popular leaflet explaining the Malabo Declaration

When beneficiaries are aware of how programmes should benefit them, they can become a powerful force demanding for delivery under these programmes. This is why it is wise for the press to cover the Malabo Declaration and to issue a simply written popular version (in local language). This popular version should be disseminated widely to beneficiaries as farmers, producers, entrepreneurs, women and youth. NEPAD also has established a CAADP Journalist Network. This network can also help make Malabo promises more visible to stakeholders.

4 NAIP Appraisal and Formulation

Milestone	Improved NAIP
Deliverables	Stocktaking report as a basis for the formulation of a NAIP (also useful for other agriculture relevant programmes or projects) offering an analysis of agriculture growth options and suggesting areas for public and private investment.
	Plan on how to stimulate agro-business and private investment in agriculture. Information and ideas to develop this plan will come from regular Public-Private Dialogues where farmers, producers, agri-business and agro-industry meet policy and decision makers to inform agricultural planning.
	Draft NAIP / Appraised NAIP: Countries formulating a new NAIP should base this on the stocktaking and private investment plan described above. This new NAIP will then receive a Technical Review as part of the process towards the final plan (see below). Ongoing NAIPs can be subjected to an appraisal. NAIP Appraisals can be carried out by in-country stakeholders (a self-appraisal, using these guidelines) or by consultants (in the case of an externally facilitated appraisal).
	Independent Technical Review is an external assessment of a new (draft) NAIP. Ongoing NAIPs should already have incorporated the findings of an Independent Technical Review carried out at the time of their formulation process. However, the Technical Review report may be re-visited as part of the appraisal of ongoing NAIPs to verify if recommendations were addressed in the final NAIP document.
	(Complete and final) NAIP: For countries formulating a new NAIP (or a successor NAIP where the previous NAIP completed its cycle) the integration of the findings of the Independent Technical Review (into the draft NAIP) should result in the production of the final NAIP document.
	Stakeholder dialogue & joint implementation agenda: For ongoing NAIPs this dialogue uncovers implementation bottlenecks. Both for ongoing and newly formulated NAIPs, it serves to create a consensus around prioritised next steps. The output of this dialogue is a jointly owned incremental strategy for (improved) NAIP implementation (process may be supported by external facilitators).

Countries are at different stages with respect to CAADP implementation; those who were among the first group who signed their CAADP Compact (before 2009) are in some cases already implementing a second phase of a NAIP; those who signed later (e.g. by the end of 2011) tend to be nearing the end of their first NAIP phase, others (e.g. compacts signed by end of 2014) have yet to start implementing or are still

formulating a NAIP. As highlighted earlier, these guidelines are meant for all countries, regardless of their stage of CAADP implementation:

- During the planning phase these guidelines help to create a strong foundation on which to build a NAIP (and other agriculture related programmes)
- During the implementation phase they can help assess ongoing NAIPs (and thereby identify scope for improvement for a new NAIP phase).

Experience shows that where country systems are robust and where NAIPs are firmly rooted in these country systems, NAIP impact has been greatest. Therefore, this chapter looks particularly at how to ensure that the NAIP is thoroughly embedded in the country's systems and processes and how to assess if these are not of a quality that enables successful implementation of the NAIP.

The chapter starts with a look at the purpose and scope of the NAIP followed by a brief discussion of differences between countries in the way the NAIP is used. The main body of this chapter is based around four areas of appraisal and their ingredients of success: (1) Policy & Planning; (2) Finance & Investment; (3) Coordination & Cooperation; (4) Monitoring & Accountability.

Annex 5 presents checklists for each of these four areas: The questions presented there can be used as part of a 'self-assessment' e.g. during formulation (in countries designing a NAIP) or as part of M&E (in countries with ongoing NAIPs) for example during Mid Term Reviews or Joint Sector Reviews. The chapter ends with a discussion of the milestone and deliverables under this phase.

4.1 Purpose and scope of the NAIP

The purpose of the NAIP is in its name: It is a National Agriculture Investment Plan, whereby it is assumed that a major component of the investment is in the form of private investment, as it is ultimately the investment by the private sector that will stimulate growth.

During the Maputo era, the identification of investment opportunities (through the Stocktaking), the creation of the right conditions for investment (through the NAIP) and the encouragement of the private sector to invest (at the Business Meeting) ran like a red thread through the CAADP process and was the connecting fibre of its milestones. The Malabo Declaration has emphasised this CAADP orientation towards private sector driven agriculture growth and even uplifted it with its commitment to partnerships and alliances with farmers, agribusiness and civil society and with its commitment to tripling intra-African trade in agricultural commodities and services.

This focus on leveraging private investment is an important value-added of the NAIP. In cases where there are more national agriculture programmes, this emphasis on stimulating investment sets the NAIP apart from other frameworks such as Agriculture Sector Wide Approaches or SWAPs.

Whether the NAIP is an Agriculture SWAP, is an issue that has raised a lot of questions. Although the need for clarification is justified, it is important not to get lost in semantics or to become too dogmatic about the exact characteristics of either a SWAP or a NAIP. Naturally, the NAIP as a sector-wide instrument can be called a SWAP and in some countries the NAIP has replaced the Agricultural SWAP that existed before it.

In short, country scenarios can roughly be divided into the following:

1. The NAIP replaced the earlier SWAP as the only sector-wide plan in agriculture and has thereby effectively become the new Agriculture SWAP;
2. The NAIP was added to an already existing Agriculture SWAP and these national agriculture development frameworks have continued to exist side-by-side;
3. A new national agriculture development programme was added after the NAIP, thereby creating the same situation as under point 2 with different national agriculture development frameworks existing side-by-side;
4. The NAIP is *not* a programme of activities (as in point 1 to 3) but instead it is an *Investment Plan* in the truest form, namely a plan for funding the (sometimes already existing) national agricultural programme of activities (or Agriculture SWAP).

This shows that real-life practice is not always clear-cut, and it would be foolish if these guidelines pretended otherwise. But country implementation experience has also taught three key lessons that can help in sorting out less straightforward country scenarios:

Lesson 1 **A single plan creates clarity and consensus** as it presents a clear orientation to stakeholders in the sector. Different initiatives of a smaller scale may still exist (e.g. projects), but these can be aligned to the overall plan. A single plan behind which stakeholders (including development partners) are mobilised avoids conflicting agendas competing for resources (scenario 1 and 4 above);

Lesson 2 **The role of the NAIP must be clearly delineated** in cases where the NAIP is not the only national plan for agriculture development (scenarios 2 and 3), differences based on the origin of the SWAP and the NAIP can point the way to a division of roles between these two instruments: Whereas the SWAP tends to be more about public administration and public service provision, the NAIP is more about stimulating private investment and private sector growth. Of course the NAIP also looks at public services, but it should do so through the lens of improving the quality and relevance of these services to ‘trigger’ or ‘leverage in’ private investment (see annex 6 for a comparative overview).

Lesson 3 **The NAIP as a true Investment Plan is a useful instrument** as it manages to mobilise energy and commitment around a resource envelope, instead of treating the way a programme is funded as a kind of afterthought (scenario 4). Too many NAIPs falter simply because they are insufficiently funded. The NAIP as the plan for raising the investment for a programme of activities (possibly an already existing SWAP) can act as a practical tool assuring funding. This, of course, greatly helps implementation.

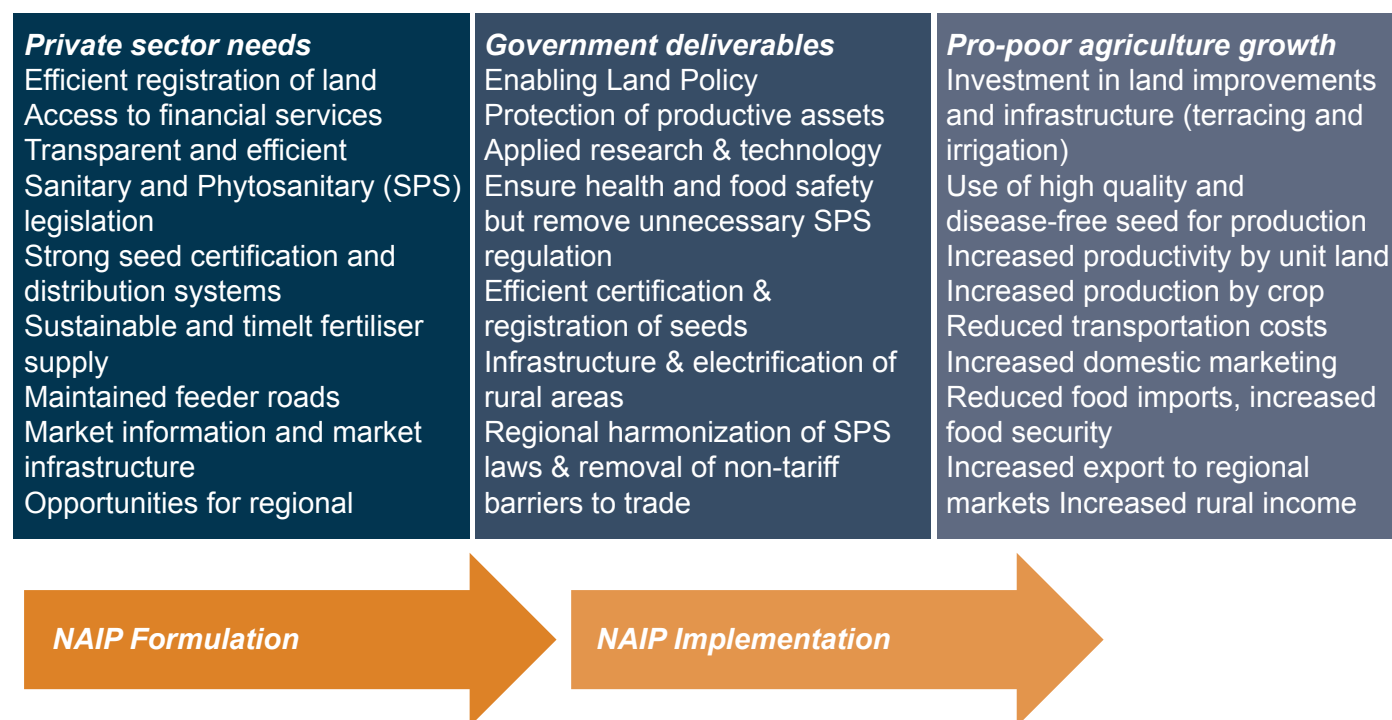
The scope of the NAIP tends to be the result of a planning process based on the needs and potential in the agricultural sector. However, equally important is that a NAIP can actually and feasibly be implemented. In deciding how wide the NAIP should be, it is worth to also look at:

- Whether the NAIP is the only framework in the sector or it is one of several: Where the NAIP is the only framework, its scope tends to be wider, but this implies greater coordination challenges, especially where implementation is by more than one Ministry
- The extent to which coordination is still feasible: In countries, or sectors that battle with coordination problems, it is advisable to base the scope of the NAIP not only on what needs to be done, but also on what can feasibly be coordinated.

Whatever the scope, important is to always ensure that the NAIP is a bridge between public expenditure (or public investment) and private investment. This is easier when private sector needs are taken as the point of departure in defining quality public services (figure 3). This can be done for the whole sector or for certain value chains (e.g. five value chains as per the Malabo Declaration).

With respect to implementation of NAIPs and the Malabo Declaration, the sections below highlight the key determinants of success divided into four areas. The checklist in annex 5 can be used for self-assessment exercises, or can be an input in a NAIP Appraisal consultancy.


Figure 3: NAIP as the bridge between public expenditure, private investment and agriculture growth



4.2 Policy & Planning

Importance of the National Development Plan

Most countries have a policy architecture that starts with a Vision-20XX document that is translated into a sequence of medium term (usually 5 year) National Development Plans.



In the current situation, where reaching the Malabo targets depends not only on the NAIP, but also on other agriculture-related programmes (probably under different ministries), the importance of the National Development Plan can hardly be overestimated: Where this plan is weak on agriculture, it becomes near impossible to effectively coordinate activity in the sector and at implementation levels. Where this plan is strong on agriculture, especially where this is aligned to Malabo, coordination towards achieving Malabo goals becomes feasible even if this depends on actors outside the Agriculture Ministry and on activity beyond the NAIP. Annex 7 lists National Development Plans and NAIPs for selected countries.

Complementarity of policies at the agriculture sector level

The agricultural sector nearly always has a plethora of policies, laws and legislation. Some are clearly demarcated (Livestock Policy, Fisheries Policy), others harbour conflicts of interest, such as is often the case in water related policies where an Irrigation Policy (usually under Min. of Agriculture) promotes the productive use of water, which may be contradicted by a Water Conservation Policy (often Min. of Environment). This can jeopardise implementation. It is important to get an overview of relevant policies and to identify to what extent these are aligned or in conflict. The scope of that overview now has to be increased to include all policies relevant for the implementation of Malabo. Remember that policies are not changed overnight, so key policy conflicts should be prioritised and addressed in consecutive order.

Agriculture Sector Strategy

Experience has shown that a sector-wide strategy for agriculture can be very useful. What is meant is here is a truly sector-wide strategy, not a strategy for the Ministry of Agriculture, but one that is below a National Development Plan and above implementation programmes. As a sector-wide strategy it should offer guidance to all programmes relevant to agriculture regardless of to which ministry's mandate these belong. In fact, a strategy like this, if aligned to Malabo, could be the nearest to a country-level translation of the Malabo Declaration.

Quality and clarity on goals and roles

A minimum requirement of an agricultural policy is that it is clear on goals and roles: Does the policy lean towards private sector driven growth? Or is it more about public sector controlled production? Of course, from the CAADP and Malabo point of view the policy must be clear on the twin-purposes of (i) private sector driven agricultural growth and (ii) growth that is inclusive and equitable. The policy's delineation of roles must be unambiguous and reliable in the long run: Where does the public sector's role stop and where does that of the private sector start? Nothing is more damaging for agriculture growth as situations where certain tasks are first handed-over to the private sector (like distribution and sale of fertiliser) for them to be reclaimed by the government later. An agriculture policy must therefore not only be clear but also be stable, reliable and predictable in the long term.

Inclusive policy and planning processes

CAADP promoted inclusive and participatory processes to deliver the Country Compact and formulate the NAIP. This was successful and has made agricultural plans better and more widely owned. These inclusive planning processes should continue and be extended to include also other actors that matter in the achievement of the Malabo Declaration targets. To avoid that such inclusive planning meetings become too large however, one can split the process, for example by sub-sectors. Important though is that it is not

just the Ministry of Agriculture plus non-state actors, but that it also includes other ministries responsible for programmes that are to be implemented in coordination with NAIPs and aligned to Malabo.

Incremental strategy and plan

An Agriculture Policy, as a long-term vision, can be bold and about the big picture. A strategy has to be realistic in the medium term and a plan must be feasible within its time frame. This is where, so far, NAIPs tend to have overshoot expectations, by trying to cover everything at the same time while overestimating the financial resources that will be committed to it. Best is to design an incremental and realistic strategy, whereby priorities can be financed and addressed in sequence, rather than spreading available resource wide and thinly.

Enabling private sector led agriculture growth

The enabling environment for investment can be considered as a kind of 'interface' between policy & plans and resources & implementation. Without the conditions and capacities for investment, most plans will struggle to reach their targets. The foundation of an enabling environment in agriculture is found first in its laws and policies and second in the efficiency of its legislative and administrative procedures. But what is a good agriculture policy? Opinions on this vary widely. A concept gaining attention is that of a 'good enough' agricultural policy or governance that manages to ensure a level of economic freedom for farmers and entrepreneurs and that is characterised by pro-poor public spending (e.g. on infrastructure and power supply directed also to resource poor farmers and remote areas).

With respect to rules and regulation, the basics of an enabling environment are: Clear grades and standards (enabling export), Sanitary and Phytosanitary regulation that ensures health and food safety but avoids excessive regulatory hurdles, streamlined legislation governing investment, and finally, efficient processes such as a one-stop-shop for the necessary permits instead of the need for a trawl to multiple offices and a fight with lot of 'red tape'.

Political economy of agriculture

Agriculture is a political sector and every agricultural policy has winners but losers too. Small businesses can lose out to global players; the privatisation of fertilizer marketing means government loses an opportunity for political gain; increased domestic production that replaces imports will rob the Ministry of Finance from (part of) the revenue of import taxes.

In fact, policies towards equitable rural growth often imply a new political equilibrium. Dealing with this fact cannot be avoided as some of the most critical issues needed for agricultural growth carry a political cost or a loss to powerful parties: Clear and secure ownership of land is a prerequisite to private investment in land improvements, but means a loss of land (and power) to government; agricultural input subsidies must be applied with care so as to not stifle the private sector; SMEs must be heard despite big businesses having a louder voice and better political connections. It is important to be aware which parties stand to gain and which lose, because 'losers' could become powerful forces against policy implementation. Politically sensitive issues must be named and the incentives for and against policy implementation must be 'unpacked': What is at stake? Who wins and who loses from the outcome being realized? How powerful are the winners, can they become champions for change? How powerful are the losers; and can they stop change?

Good advice in politically sensitive environments is to pick your battles with care, don't fight everything but concentrate your efforts around the real key 'levers for change'.

4.3 Finance & Investment

Agriculture Sector MTEF

Many countries have a medium-term expenditure framework (MTEF) as part of their budget process. The MTEF is a strategic planning tool with a medium-term horizon (3-5 years). This allows a financial forecast of future costs or future revenue of investment made (or not made) today: Roads built in this budget year have to be maintained in subsequent years. Roads not built may represent a cost in foregone marketing opportunities.

This medium-term horizon is important because investments in agriculture may take long to bear fruit: Investment in irrigation infrastructure in year-0 may see returns in year-3. A return on investment made in agricultural research will take several years, but not making this investment may cost the country dearly in years to come.

Usually, countries have one overall MTEF, divided into what are called Sector MTEFs. However, the scope of these differs widely: An Agriculture MTEF may be as narrow as the budget of the Agriculture Ministry; or it may be as wide as the sector and include all agriculture related expenditure, regardless of the ministry that spends it. Countries that have a true Agriculture Sector-wide MTEF usually also have ministerial-based MTEFs because the ministry as a Budget Holder is accountable.

Where the sector MTEF is based on a plan (e.g. the NDP) that is aligned to Malabo, then the Agriculture Sector MTEF could effectively be seen as the strategic resource envelope as well as a coordination tool for the translation of the Malabo promises into practice.

Link between the NAIP and the MTEF

The NAIP is financed from public expenditure as well as from private investment. The public funds that go into NAIP implementation should be part and parcel of the national budgeting process as is the case for all public funds. That means, all of the public government funding to the NAIP should also be reflected in the MTEF, as well as be part of the regular Annual Budget process. Vice-versa, the MTEF and the Agriculture MTEF (be it at the level of the sector and/or at the level of the ministry) should reflect allocation to the NAIP. In other words, there must be clear references in the MTEF to the NAIP. This might sound obvious to most countries, but the CAADP and Country Systems Study found that the linkage between the NAIP and the MTEF is not a given, with a lot of scope for improvement.

High quality public expenditure

The Maputo-CAADP decade asked for 10% of total public expenditure to be committed to the agriculture sector. The idea was that these funds would be core-funds in the NAIP, to be complemented by private investment (pledged in part at the Business Meeting). However, this requires that the public expenditure must be of a kind that actually can attract private investment. In fact, it was assumed that the 10% would be public investment; however, in practice most public expenditure to agriculture has continued to be in the

form of recurrent expenditure such as salaries, rent, fuel, electricity, and telecommunication; and not in the form of investment expenditure on, e.g. post-harvest storage, market and irrigation infrastructure. In order to create conditions necessary for the private sector to invest, the quality of public expenditure is critical. A revealing indicator is the ratio of recurrent to investment expenditure. When allocating more public funds to agriculture (many countries still are below 10%) countries should aim to make the increased funding more about *investment*.

Leadership by Ministry of Finance

The role of the Ministry of Finance in CAADP implementation has always been crucial, also because only the Ministry of Finance can push for the Maputo commitment of 10% of public funds to agriculture. However, after Malabo, this role has increased even more. To achieve the Malabo targets, not only the Ministry of Agriculture must do its job, but also ministries like Health (improve nutrition), Trade (tripling intra-regional trade), Environment (sustainable natural resource management) and Labour/Gender (jobs for women and youth).

A 'domesticated' Malabo Declaration should provide the legal and policy framework for all these actors to work under and be accountable against. The Ministry of Finance then has the task of ensuring that activities under different ministries and programmes are funded in a coherent manner. This is where an Agriculture Sector MTEF would be practical, but even in the absence of that, the Ministry of Finance can maintain an overview and prevent in-year budget cuts (for example by ring-fencing Malabo related expenditure in different ministries; this would involve labelling these expenditures and excluding them from budget cuts).

Results-oriented budgeting

Presenting the annual budget in such a way that links allocations to outputs and results has been introduced in many countries as a way to improve the quality and effectiveness of public expenditure. Often this is one form in which the annual budget is presented, along with the Budget Estimates that are presented by budget line items or the Budget Vote presented by programmes and sub-programmes. Where the budget is presented as a results-oriented or output-based budget, it must be assured that reporting back on the usage of this budget can also be based on outputs. When expenditures under an output-based budget can only be reported on by budget line item, then not much is gained. Results-oriented budgeting must be accompanied by result-oriented capturing of expenditures made.

Synchronised planning and financial frameworks

The planning cycle of national agriculture plans, such as the NAIP, tends to be between 4 to 6 years. Hopefully, these plans are linked to the annual budget to the extent that throughout its duration, the NAIP is used each year as the basis for the annual agriculture budget.

Ideal would be, if planning and financial frameworks could be completely synchronised such that the medium term NAIP would be of the exact same duration as the MTEF, which is also of medium-term (usually 5 year) duration. If this were the case, then it would allow for a comprehensive forward financial planning in year-0 of the plan (NAIP) for its entire duration all captured in the (Sector) MTEF. The MTEF developed at the start of the agricultural plan would become the basis of the financial forecast for its budget. Even if the MTEF, as is likely, contains more components than the programme (depending on

whether it is ministerial or sector-wide), a tight synchronisation of planning and financial frameworks would lead to a much more predictable and reliable public funding of the plan..

Budget accountability

All the work on getting the budget right will be useful only if budgets tend to be spent as per plan. Where the going practice is to draw up a budget, but to then spend funds completely differently, then confidence in the budget process quickly evaporates and the basis for monitoring and accountability is seriously eroded.

There are many mechanisms to foster budget accountability: Ministries of Finance can introduce transparency by having clear budget statements at the start of the financial year and through an accessible website (many Ministries of Finance have one). The budget process can create space (in time and opportunity) for watchdog functions to be performed, such as budget scrutiny by Parliamentary Committees on Agriculture (nearly every country has one); and stakeholders in the agriculture sector can ensure that a regular Agriculture Public Expenditure Review (AgPER) is held, prior to programme (NAIP) formulation, mid-way programme implementation and as the programme comes to a close. These AgPERS can also be used to inform Agriculture MTEFs, especially with respect to the need and opportunities for mobilizing more capital (investment) expenditure for agriculture.

4.4 Coordination & Cooperation

Inter-Ministerial cooperation

Cooperation between ministries was important even in the Maputo-CAADP decade. However, as Malabo is more ambitious with targets whose achievement is not (completely) under the control of the Ministry of Agriculture, inter-ministerial cooperation has become even more crucial. The role of the Ministry of Planning (or the National Planning Commission) as well as that of the Ministry of Finance is central in this regard.

This inter-ministerial cooperation must be based on a strategy towards achieving the Malabo targets, which would usually be above the NAIP. Ideal would be a National Development Plan that has integrated (or is aligned to) the Malabo targets, as this mid-term plan is usually already under the responsibility of Ministries of Planning and/or Finance.

Sometimes, the structure of the plan offers a foundation for coordination: Where an NDP has components on Governance, Social Welfare and Economic Growth (as is a common structure of such plans) then the Economic Growth component can offer a basis for inter-ministerial coordination, especially in agriculture based economies. Sometimes, ministries responsible for certain components are organisationally linked in 'Clusters' such as in Rwanda. In other countries, like Tanzania, different agriculture-relevant line ministries are organised in so-called Agriculture Sector Lead Ministries (ASLMs). If none of such organisational structures exist, an agriculture sector-wide Inter-Ministerial coordination mechanism has to be set up and must (preferably) be chaired by the Ministry of Planning and/or Finance.

Clear division of roles and responsibilities

The basis of each coordination mechanism must be a clear definition and division of roles and responsibilities. This must be clarified between ministries, between national and sub-national levels and especially between the public and the private sector. Too many agriculture sectors were burdened for too

long by governments who believe they should do everything everywhere. This has stifled agriculture growth and must stop if the Malabo targets are to become a reality.

Results-oriented coordination

Whereas ‘results-oriented planning’ and ‘results-oriented budgeting’ are now mainstream concepts, the concept of ‘results-oriented coordination’ seems not to have taken off quite to the same extent. Often coordination activity still suffers from a degree of aimlessness. Too much of coordination is simply for coordination sake and tends to be about information dissemination rather than action. But coordination must be about addressing and solving problems: It has to be a means to an end and not an end in itself. For each coordination mechanisms and at the start of each coordination meeting, the question “Coordination to achieve what?” must be asked and answered.

Capacity development of sub-national levels and non-state actors

Capacity development (CD) efforts are often part of national agriculture plans, and they should be (as long as these effort are also results-oriented in the sense of answering the question “Capacity for what?”). There is a trend for CD funds to be spent at national levels and on government actors. For agriculture to be driven by private small/medium scale producers and entrepreneurs, this group has to become informed, aware and articulate.

Developing a capacity development framework (or strategy) that is truly sector-wide is advisable. When the design of such a framework or strategy takes as its point of departure the outcomes that are to be achieved at sector level, it cannot fail to include a wide range of non-state actors, as these tend to be responsible for many of the desired outcomes.

Effective donor coordination

Effective and government driven coordination is possible, and even ensuring that donors reflect their contribution in the budget papers is feasible (Rwanda manages to do both) . Experience shows that effective donor coordination is necessary. Situations where NAIPs are not implemented because donors prefer other frameworks should be avoided. Donors’ needs should be taken seriously and any concerns they have vis-à-vis existing NAIPs should be discussed. But too much fragmentation and too many plans and programmes competing for (donor) resources do not help the implementation of a NAIP. The Malabo Declaration requires even more effective coordination, and this is true for both development partners as well as domestic actors. Agriculture Sector Working Groups are a means towards improved coordination of donor support while Joint Sector Reviews are a means to increase accountability against sector plans and budgets.

Organisation and capacity of the private sector

One factor that determines the speed and feasibility of agriculture growth is that of the level of organisation of the private sector and their capacity to influence policy, planning and implementation processes. More attention should be given to this aspect: By fostering organisation at country level, by strengthening and creating partnerships with national and regional farmer organisations, by creating space for value chain platforms at national and regional (REC) levels, and by learning from other countries.

Agricultural Strategies and NAIPs should also address the need for supporting the organisation and capacity of non-state actors such as farmers, entrepreneurs and value chain players. Where this is financially supported, suitable channels must be found. Funds to support the private sector are not always best managed by government, as there is an inherent danger of a conflict of interest: A well-organised and capable private sector also tends to be a more demanding and vocal one, and although that is in the interest of long-term agriculture growth, it may not always conform to short-term political concerns.

Keeping the private sector on board of coordination mechanisms

One widely acknowledged achievement of the first CAADP decade is that non-state actors have become a regular partner to government in planning meetings. But getting the private sector to sit at the table proved easier than keeping them there. For the commercial private sector to meet with government it must be worth their time. This is easier if coordination is around tangible issues and is about solving problems or getting things done (i.e. the 'results-oriented coordination advocated above) e.g. around value chains or bottlenecks to trade. Regular public-private platforms can be established (or strengthened) based on value chains, in accordance with the Malabo Declaration that asks for public-private partnerships around at least five value chains. These platforms may then also constitute a useful opportunity for accountability towards both the private sector as well as towards government.

At continental level two initiatives may offer a basis for constructive cooperation with the private sector: First, New Alliance for Food Security and Nutrition works with governments to develop or revise policies that facilitate responsible private investment in agriculture in support of smallholders. This New Alliance is based at the AUC. Second is Grow Africa as a multi-stakeholder platform aiming to accelerate private sector investment. The New Alliance and Grow Africa cooperate at a country level based on Country Cooperation Agreements (CCAs) between government, private sector and DPs. So far, Grow Africa operates in 12 CAADP Partner Countries, the New Alliance in 10. In cooperating countries it can be assessed whether the CCAs offer a starting point for more effective and results-oriented coordination with the private sector.

4.5 Monitoring & Accountability

Linking public investment to sector performance

Monitoring in programmes such as the NAIP often focuses on indicators like production, productivity, rural income and food security. These indicators are valid at the sector level as they say something about outcome and impact. However, at the level of the *programme*, it is necessary to also be able to link inputs to outputs, in other words to link public activity and public funds to achievements that enable sector performance. These can include: Higher quality of public services, land tenure security for farmers, secure property rights for women, clear grades & standards and efficient administrative procedures for investors.

Performance monitoring systems in agriculture often risk suffering from a 'missing middle', when a focus on outcomes (like agriculture growth) causes the in-between steps to be overlooked, such as the link between public investment and public service delivery; or the link between public service delivery and sector outcome. Too strong a focus on outcomes may lead to undesirable policy actions as governments (pursuing sector outcome goals) may be tempted to take unsustainable short-cuts; e.g. when fertilizer markets need time to develop, the answer is not for government to reclaim the distribution of fertilizer, but rather to build

temporary public-private partnerships with clear exit strategies for government to withdraw once fertilizer markets are sufficiently established.

Agriculture policies with a long-term horizon need attention to mid-way goals to avoid a permanent 'policy pendulum' between government withdrawal and government dominance.

Measuring the 'enabling environment'

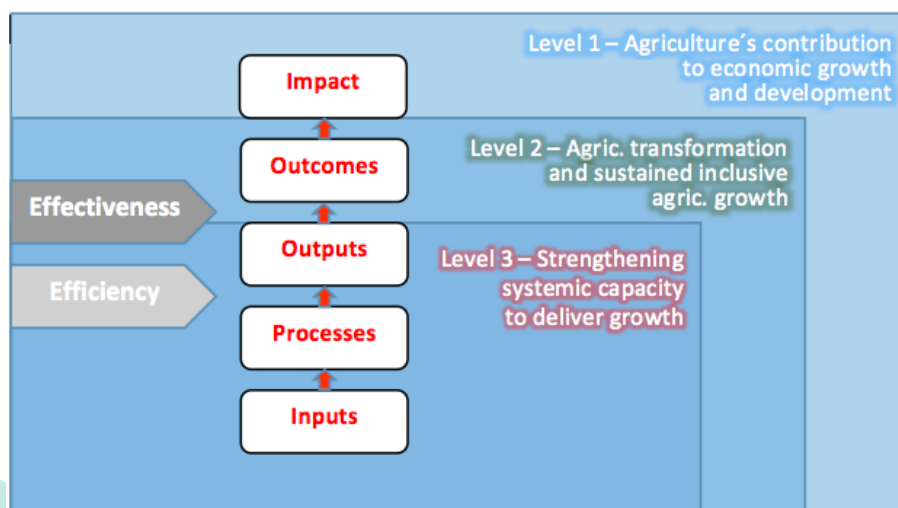
If the NAIP is to be the instrument that stimulates private investment, then those responsible have to be serious about whether this actually is achieved and ask at least the following questions: "Where are public funds spent best in order to attract private investments? What is the amount of private investment that a 100 dollars of public money attracts?"


To increase private investments, planners have to become business-minded when spending their public funds. This means that not only should sector performance be measured (e.g. production, productivity, growth) but also the enabling environment itself. There are indicators to do this such as: "Are the laws that regulate private investment clear? Can people get and register land titles? Are farmer associations registered efficiently? How many licences do agro-businesses need? What are trade-levies on agricultural produce? Are quality standards established and enforced?" The NAIP, as the tool to create an enabling environment, should mainstream information on the strength of that enabling environment in its M&E. Use should be made of international databases as these are neutral and collect information at no cost to the country. The World Bank measures "Enabling the Business of Agriculture" (EBA) indicators for a growing number of countries and on an annual basis.

Measure mid-way goals

Much as the concern is with outcome and impact, reinforced by the Malabo Declaration's emphasis on results, it would be a mistake to translate this concern into measuring only outcome and impact indicators. Indicators need to be collected at all levels (input, output, outcome and impact) but they need to be linked to purpose (see figure 3 below).

Figure 4: Measuring mid-way goals in the CAADP Results Framework





The *efficiency* with which inputs (e.g. staff time and public funds) are turned into outputs (e.g. clear regulation and quality services) says much about the ‘Systemic Capacity to Deliver Results’ at Level 3 in the CAADP RF. Information at this level helps day-to-day management of a programme (such as the NAIP). Whether Level 2 is achieved depends on the effectiveness of outputs to contribute to outcomes towards ‘Agricultural Transformation and Sustained Inclusive Growth’. Information at this level says whether the overall strategy (or NAIP) is being achieved as per plan.

The extent to which ‘Agricultural Transformation’ leads to ‘Economic Growth and Inclusive Development’, on Level 1, is measured by assessing if outcomes of the strategy translate into impact. Information at this level informs the policy. For example, if the number of agribusinesses has gone up, but rural incomes stay low, then reasons for this must be analysed: Agribusinesses may employ migrant workers, or pay slave salaries. Whatever the reason, a response is needed at the level of the policy.

Joint monitoring frameworks

In selecting the indicators for M&E a few rules have to be kept in mind: There is need for indicators at programme, enabling environment and at sector level (see above); indicators have to be well spaced (so that two indicators do not measure the same thing); and the measuring of indicators must not be too costly (annual changes in food security and poverty indicators are so small as to need very large populations to still be significantly measurable).

Most important of all, the total number of indicators must be kept to a reasonable level. Adopting sector-wide and joint (government and donor) monitoring frameworks, such as a common Performance Assessment Framework (PAF), can help achieve this.

The PAF usually consists of a ‘pyramid’ (or log-frame) of indicators, output indicators at the bottom, outcome indicators in the middle and impact indicators at the top. Development partners must be encouraged to buy into this PAF also for their own monitoring purposes. Only in this way, can the country and the sector ensure continuity in the indicator measured (important for long-term trends), can domestic statistical capacity be built over time and can the resources (time, cost) for regular M&E of a programme be kept to an acceptable level.

Act on monitoring findings

One of the reasons national M&E Systems have muddled through at low capacity for so long, is that the incentives for doing a better job are eroded by the fact that there is hardly any follow up: M&E findings are not taken on board in planning; budget disbursements are not improved; ‘business as usual’ perseveres. M&E will improve only when those collecting and analysing the data believe it matters. Only a clear focus on delivery, and a real desire to achieve results, will ensure that monitoring systems can enter an upwards spiral of gaining strength, by being needed and used. Thus, to act visibly on monitoring findings is a must.

Accountability to domestic stakeholders

Strengthening domestic processes of accountability is crucially important, as policies that are widely known and wanted, will be ‘pulled into action’ by stakeholders demanding delivery. For this to happen, preconditions, such as freedom of the press and opinion, are needed. But creating these conditions is beyond the Ministry of Agriculture, even above the sector.

Nevertheless, at a programme level much can be done: Making the programme’s promises to its beneficiaries widely known; inviting representatives and spokespersons to meetings and ensuring that Parliamentary Committees on Agriculture are regularly updated and receive budget information on time for them to comment. This calls for the establishment or strengthening of mutual accountability platforms, particularly the agricultural joint sector reviews (JSRs) that AUC and NPCA have supported in 18 countries. The JSRs serve as multi-stakeholder platforms for review and dialogue on the implementation of the NAIP. The outcomes of the review will identify policy and programmatic gaps that are hindering implementation, and action from the JSR will inform subsequent budgeting and programming to improve efficiency and effectiveness of the process.

4.6 Internalising the CAADP Results Framework

The advice above refers predominantly to Level 3 of the CAADP RF ‘Strengthening Systemic Capacity to Deliver Results’. At this level, the CAADP RF distinguishes six sub-categories relating to the four assessment areas discussed above as in figure 5 below:

Level 3	Strengthening Systemic Capacity to Deliver Results			
<i>Added value of CAADP to institutional, transformation & systemic capacities</i>	<i>Policy & Planning</i>	<i>Finance & Investment</i>	<i>Coordination & Cooperation</i>	<i>Monitoring & Accountability</i>
3.1 Effective and inclusive policy design and implementation processes				
3.2 Effective and accountable institutions assessing implementation of policies & plans				
3.3 Strengthened capacity for evidence based planning, implementation & review				
3.4 Improved multi-sectoral coordination, partnerships and mutual accountability				
3.5 Increased public and private investments to agriculture				
3.6 Increased capacity to generate, analyse and use data, knowledge and innovations				

4.7 Milestone and Deliverables

The **NAIP Appraisal** itself is the milestone under this component. This NAIP appraisal can be done:

1. At formulation phase of the first NAIP: The appraisal then is concerned with the agriculture sector and strengths and weaknesses in its systems of planning, budgeting, coordination and monitoring. If other agriculture programmes exist, or have preceded the formulation of the NAIP, these can be assessed and the lessons can be incorporated in the new NAIP.
2. During NAIP Implementation: Especially when on-going NAIPs struggle, a mid-term appraisal makes sense. It helps to get an overview of the NAIP in the context of the sector as a whole and in relation to other programmes and it assesses to what extent the NAIP is firmly embedded in domestic systems and processes.
3. At final evaluation of a NAIP and prior to the formulation of a next NAIP. The appraisal then focuses on the NAIP nearing conclusion and lessons are incorporated in the successor NAIP.

The NAIP Appraisal can be in the form of:

- A self-appraisal whereby these guidelines can be used to inform the process. The self-appraisal should be as participatory as possible, platforms for this could be the Agriculture Sector Working Group or an Inter-Ministerial Committee for Agriculture.
- An appraisal by a team of consultants: Not be confused with the Independent Technical Review, which was a standard tool in the Maputo-CAADP era. As the name implies, the Technical Review focussed mostly on the technical content of a NAIP, from an agricultural and from a financial perspective (e.g. by focusing on areas or products of high agricultural potential). The kind of a NAIP Appraisal referred to here would focus more on the design and implementation of the NAIP in its sector context and in relation to other agricultural plans.

The deliverables under this component are optional, depending on the purpose of the NAIP Appraisal and can include the following (the list is not exhaustive):

Stocktaking

This exercise was introduced in the first CAADP decade and was much valued by countries: It made planning more evidence-based and different computer generated growth scenarios greatly informed countries designing their strategies. Stocktaking and projections continue to be useful instruments during NAIP formulation, possibly even at mid-term implementation. Especially their analysis agriculture growth options can point at where public investment makes most sense (has the highest rate of return) and offers the private sector information on opportunities for investment. Local experts will be able to use the NAIP 2.0 Analysis ToolKit to carry out similar analysis and expand it to address all key Malabo thematic goals.

Plan for agro-business and private investment

From the start, efforts were made by CAADP to involve and include the private sector: The private sector was made a partner in the CAADP Country Team and an important milestone was the Business Meeting, at which the private sector was presented with the final NAIP and encouraged to pledge investments towards it. However, Maputo-era NAIPs generally failed to purposefully design a plan on how to encourage private investment, with the consequence that this remained well below expectation in most countries.

The Malabo-era NAIPs must improve on that record. This time around, it is advised to not wait to ask the private sector for its contributions until after the NAIP planning is finalised, but instead to engage with them before finalising the NAIP, to ensure that the NAIP more effectively addresses bottlenecks to investment and growth. This calls for regular, constructive dialogues with the private sector before the final NAIP is enacted so that private sector needs are fully taken on board of the programme. Regular Public-Private Dialogues should be mainstreamed to ensure a platform where farmers, producers, agri-business and agro-industry meet policy and decision makers to inform agricultural planning. Such meetings can be in the form of value-chain or commodity meetings, Investment Facility Platforms or any other private sector oriented platform, as long as it discusses key obstacles and identifies priority actions to unlock private investment in agriculture. Meetings with apex-organisations like Agriculture Chambers of Commerce, Regional Farmer Organisations, are valuable too and should be held often.

Results of the stocktaking exercise (described above) can be presented at such public-private dialogues. Ideas and information from these dialogues can then lead to formulate a plan on how to stimulate agro-business and private investment in agriculture. This plan should ensure that NAIPs are no longer simply about 'business as usual' and become more about 'How can private investment in agriculture be stimulated and sustained?' and 'How can market forces be mobilised through high quality public investment?'

NAIP Appraisal / NAIP Formulation

The deliverable for countries with an ongoing NAIP is the NAIP Appraisal Report, while countries that formulate a new (or successor) NAIP would deliver a final draft of the NAIP.

The NAIP Appraisal systematic analyses ongoing NAIPs against the four areas of appraisal: Policy & Planning, Finance & Investment, Coordination & Cooperation and Monitoring & Accountability. The deliverables include the report and attending documents such as a stakeholder mapping or a results-matrix. The appraisal is based on secondary sources (policies, programme documents, evaluation reports, annual budgets and MTEFs) as well as primary sources in the form of interviews with Agriculture, Finance and agriculture-related ministries and agencies, non-state actors (farmers, farmer organisations, entrepreneurs, commodity associations, women and youth groups) parliamentarians, academia and traditional leaders. The NAIP Appraisal Report should present an overview of constraints and opportunities translated into recommendations and proposals for a way forward.

Countries that formulate a new NAIP should ensure that it is firmly embedded in national systems of planning and budgeting and the formulation process should similarly address areas of coordination (including that of development partners) M&E and accountability. In other words, formulation should take account of the same issues as are addressed during appraisal (see also annex 5).



Independent Technical Review

The Independent Technical Review proved useful in the first CAADP era as an assessment of the quality of the draft NAIP, with the final NAIP a product of the integration of the review's recommendations. The external and independent character of this review was appreciated and it will continue its use as a support instrument. The scope of the Independent Technical Review in the Malabo-era will change somewhat: More attention will be given to the link between public expenditure and private investment and to the tracking of the inflow of private investment as a result of public goods and the creation of an enabling environment.

Stakeholder dialogue and joint implementation agenda

The output of a NAIP Appraisal can be an input to a stakeholder dialogue. Such a dialogue can be started from scratch, but experience shows that when stakeholders are presented with an analysis, this dialogue becomes productive much quicker. Especially in countries with an ongoing struggling NAIP, it is useful for stakeholders to take a step back, look at the big picture, and identify prime obstacles. The stakeholder dialogue should be able to produce a jointly agreed agenda for implementation that is based on a consensus of agriculture stakeholders around priority areas and next steps.

Final (or improved) NAIP:

Countries that formulated a (draft) NAIP that was subjected to an Independent Technical Review, will integrate the review findings and produce a final NAIP as the last deliverable under this component. Countries that had a NAIP that was appraised, will be able to improve its implementation after the stakeholder dialogue and joint implementation agenda.

5 NAIP Implementation

Milestone	NAIP targets achieved
Deliverables	NAIP Spending Plan is embedded in the national budget: This ensures that public expenditure in agriculture is aligned to and guided by the NAIP. Spending via the NAIP should be subjected to budget reviews such as the Annual Audit, Agriculture Public Expenditure Reviews (AgPER) and Public Expenditure and Financial Accountability (PEFA) Reviews.
	The private sector invests in agriculture: An excellent indicator of the success of NAIP implementation is the level of private investment in agriculture. Private investment trends must be monitored, at national level, in comparison to the regional average and where possible disaggregated by important value chains.
	NAIP activities implemented as per plan, which should be monitored by regular progress reviews such as Mid Term Programme Review, Joint Sector Review, and Sector Performance Assessments. These reviews should also include a measurement of the enabling environment for doing business in agriculture.
	Mutual accountability is upheld throughout the system: Between decision makers and implementers, between those allocating and those spending funds, between public and private stakeholders, between national and grassroots levels and between those providing and those utilising services (producers, agri-businesses).
	Annual planning is informed by implementation: A learning culture must be consolidated, whereby each implementation cycle (e.g. annual workplan) learns from the experiences of the previous one. This will gradually improve implementation success and ensure that NAIP targets are met.

Even carefully planned and meticulously designed NAIPs experience problems in implementation. No NAIP is perfect and even if the plan itself were perfect, factors in its environment can cause it to stumble: Experience has shown that this is a fact. Therefore, there is no cause for shame and blame of NAIPs that perform below expectations, as this is the fate of most programmes. However, some countries have been more successful in finding solutions to problems than have others.

Although it should be remembered that a solution that works in one country, might not work in the next, this chapter presents common problems in each of the four appraisal areas and ‘best practices’ found in countries that have overcome such hindrances. It is hoped that these examples provide encouragement, even inspiration, to those entrusted with the challenging task of implementing a NAIP. The chapter ends with a discussion of the milestone and the deliverables listed above.

5.1 Policy & Planning

Common Problem	Best practice
The agriculture sector suffers from too many policies and plans, whereas the real problem is implementation	Clearly delineate the role of different frameworks ('policy mapping') along a sliding scale with the policy hierarchy along the Y-axis (from policy to strategy, plan, sector programme, sub-sector programme and finally project) and the programme purpose along the X-axis (from a focus on the public mandate to supporting a private role). Then identify which frameworks overlap and can be linked; 'Unpack' the reasons for poor implementation: irrelevant plan, limited resources, lack of political will, poor capacity, M&E weakness, low accountability etc. and identify a way forward for each of these causes.
The (multi-sector) National Development Plan is not sufficiently clear on agriculture; it does not offer an adequate basis for the NAIP and other programmes relevant to agriculture	Complete a Country Profile outlining which existing frameworks contribute to which Malabo targets. Use this as the basis for a MD Implementation Roadmap (chapter 3) as 'interim' guiding framework until the end of the current cycle of the NDP. Improve formulation of the next NDP programme cycle based on the Country Profile exercise above.
Coordination under the NDP between the NAIP and other programmes relevant to agriculture is a problem	Strengthen role of the Ministry of Planning and/or Finance in agriculture sector coordination mechanisms (make them a chair if possible, with Ministry of Agriculture as the secretariat). Synchronise time-frames of NDP and all sector programmes that are derived from it (i.e. each sector programme has the same time-frame as the NDP) and ensure that the NDP and sector programmes are also synchronised to the time-frame of budget frameworks (annual, MTEF); Formulate (or use, when existing) an Agriculture Policy or Agriculture Strategy as a coordination mechanism.
The leap from the NDP to the NAIP is a long one; this is especially true when the NDP has higher level objectives (as it mostly does) while the scope of the NAIP is quite limited, e.g. does not go much beyond the mandate of the Ministry of Agriculture	Use the (existing or newly formulated) Agriculture Strategy as a 'docking station' for the NAIP, as well as for other agriculture related frameworks – look at what the role (coverage) of the NAIP and other frameworks is vis-à-vis this Agricultural Strategy; Identify and exploit synergies between different programme frameworks under this strategy (within sector or sector plus other relevant sectors); Assess the current need for coordination and compare this with the realistic feasibility of such coordination (based on experience); Based on the above, consider for a next NAIP phase which scenario is better (i) a wider scope of the NAIP to bring it nearer to the NDP's section on agriculture; or (ii) a better cooperation between NAIP and other frameworks to come to a more complete coverage of the NDP's section on agriculture
There is a good policy and a good plan, but the political will to implement is not there	Lots of evidence (also from other countries) must be compiled to inform and support the required course of action. Allies must be found and alliances built around the issue at stake (sometimes the lead driver can be outside the Min. of Agriculture or even outside government). These alliances should lobby, advocate, coordinate and cooperate and they should use any high level (political, visible) champions they can mobilize, both in government (e.g. prime minister's office) as well as outside (e.g. watchdog groups, think tanks, press, media, social media); A plan of action should be formed, which includes tackling the issue itself, but also pays continuous attention to making alliances stronger by keeping them informed, by advertising success achieved, thereby mobilizing energy around critical issues.

5.2 Finance & Investment

Common Problem	Best practice
Public Finance Management (PFM) systems are weak	<p>Organise for an assessment along Public Expenditure and Financial Accountability (PEFA) indicators and make sure that findings translate into a plan for strengthening PFM;</p> <p>Ensure that the Ministry of Finance is on-board of the process at the start, but the driver may yet come from a higher level (Public Service Commission, Prime Ministers' Office);</p> <p>Use the donor lobby, especially of Budget Support donors.</p>
NAIPs do not receive sufficient and timely resources; the budget outturn (the budget spent as per plan) is low and unpredictable	<p>Organise for an Agriculture Public Expenditure Review (AgPER) to identify specific weaknesses. Disseminate the AgPER findings widely and ensure that recommendations are followed up;</p> <p>Strengthen accountability mechanisms such as the Parliamentary Committee on Agriculture and watchdog organisations;</p> <p>Develop capacity and disseminate information especially amongst non-state actors to enable them hold the government accountable for budget execution; contract consultants to do a 'flash-analysis' of the Agriculture Budget soon after it is released; disseminate this information widely, especially to lobby and advocacy groups.</p>
The NAIP is not linked to the MTEF	<p>In countries where the NAIP is the only national public agriculture programme, the entire NAIP budget should be reflected in the MTEF</p> <p>In the case of more national programmes in agriculture (e.g. a SWAP that may pre-date the NAIP) ensure that at least most of the investment component of the public agricultural budget (or Agriculture MTEF) is channelled through the NAIP as the main investment plan;</p> <p>The recurrent component of the public agricultural budget may be divided between programmes depending on the scope and purpose of these programmes.</p>
It is difficult to follow resources from the budget to the programme; and within the programme from activities and to results	<p>Ensure synchronisation of plans and budget in terms of (i) timeline and (ii) budget coding: This means that plans should have the same cycle and duration as budgets (especially the MTEF); and the codes used for programmes and sub-programmes should be the same for the budget and the plan (i.e. a particular sub-programme has the same name and code, in the MTEF, the annual budget as well as in the plan).</p>
Government funding to the NAIP is highly skewed towards a limited number of sub-programmes (e.g. fertiliser subsidy)	<p>Ensure that Development Partner funding balances out the skewed government funding by directing DP funds to sub-programmes that are poorly covered by the government. This requires that government displays strong leadership and is able to coordinate donors, and/or that donors are united behind the same government owned plan;</p> <p>Where DP funds determine the agenda, donor coordination is a must;</p> <p>Work towards a prioritisation within the NAIP as the basis for an incremental strategy to balance attention to different NAIP sub-components over time (instead of all at the same time).</p>
The Parliamentary Committee on Agriculture cannot do its job of oversight	<p>Improve the timely dissemination of budget information;</p> <p>Build capacity of the Parliamentary Committee on Agriculture to ensure that its members can read the budget and understand its implications.</p>

5.3 Coordination & Cooperation

Common Problem	Best practice
The Ministry of Agriculture is unable to coordinate other line Ministries relevant to agriculture	Strengthen the role of the Ministry of Planning and/or Finance in agriculture sector coordination mechanisms (if possible make them a chair, with the Ministry of Agriculture as the secretariat) True coordination is based on a real understanding of the need for it among the relevant actors; To foster this understanding it helps to not only demonstrate the benefits of coordination, but also the costs of not doing so. What would the sector, the country, and the population lose in terms of time or achievements if ministries fail to coordinate?
Coordination is weak in general	It is important not to assume in advance that coordination does not take place; In the 'coordination intervention' it is crucial to make a precise diagnosis of the coordination performance and to then focus on the areas that give systematic problems or that threaten to make the sector 'dysfunctional'; Depending on the nature of the coordination constraints, a package of advocacy measures can be assembled, these might include: Making the case for better coordination; providing examples of good practice (in other sectors/contexts, or from the past); facilitating a self-diagnosis and strategy for improvement; and gaining the support and commitment of leaders e.g. by integrating coordination into performance contracts of top officials.
NAIPs depend on DP funds, but DPs do not follow a common (country owned) agenda	Make better use of coordination and harmonisation tools. These can include: Aid Policy, Memorandum of Understanding (MoU), Code of Conduct (CoC), Joint Assistance Strategy (JAS) or joint Performance Assessment Frameworks (PAF) Where such tools do not exist, assess which ones are needed and design those; use examples from other countries as a basis.
DP funding is not 'on budget' – most of it is not captured in the budget papers and domestic accountability is compromised	Create awareness that 'on-budget' does not necessarily mean through the government's Public Finance Management system, but only means 'reflected in the budget papers'; Call it 'on-plan' instead; Force donors to be transparent about their support (use MoU, CoC); Ensure that data on DP funds that are available are reflected in the budget papers, make use also of in-country DP instruments such as web-based Aid Platforms; The Ministry of Agriculture can assist the Ministry of Finance to compile data on donor contributions to the Agriculture Sector.
Donor funding to the sector and the programme is below what was pledged, comes late or is unreliable	Design a Donor- Performance Assessment Frameworks (D-PAF) with mutual accountability indicators agreed on between Government and Development Partners (e.g. frequency and timing of donor missions; rate and timeliness of disbursement against pledges; transparency of disbursements).
The private sector is not interested to participate in coordination mechanisms	Organise the private sector around specific tasks or value chains (not general programme management) and make sure their suggestions are followed by action and result in problems being solved.

5.4 Monitoring & Accountability

Common Problem	Best practice
Too many indicatorsL	<ul style="list-style-type: none"> Limit the number of indicators, space indicators well (do not measure the same thing with different indicators); Use proxy indicators that are being collected regularly, even by other ministries or in other sectors, e.g. an indicator such as 'weight at birth' is collected routinely by Rural Health Centres and is a good proxy indicator for the food security status of rural women
Too high a turnover of indicators makes it difficult to monitor trends over the long-term	<ul style="list-style-type: none"> Introduce a joint Government-DP Performance Assessment Framework (PAF) for the sector as a whole; Ensure that DPs buy into the common PAF (stipulate this request in Memorandum of Understandings and Codes of Conduct).
M&E findings are not followed up	<ul style="list-style-type: none"> Ensure that M&E findings are disseminated widely; support awareness about what they mean; Invite the media and civil society (including academia) to meetings where reviews and evaluations are presented; Support the emergence of a 'Learning Culture' in government; Estimate cost to country and sector of not following up on M&E.

5.5 Milestone and Deliverables


NAIP targets are achieved is the milestone that closes the NAIP implementation component. The deliverables under this component all work together to ensure that implementation stands the highest chance of succeeding. They include:

A NAIP Spending Plan that is embedded in the national budget

Perhaps the commonest reason for NAIPs to stumble and fail is the fact that the programme is not sufficiently funded. Where NAIPs depend to a large extent on donor funds, their implementation is at risk: Donor funds may not be forthcoming, or may be 'labelled' to go to specific activities only, thus threatening comprehensive coverage of the NAIP as a whole. The first source of funds for a NAIP is the national domestic budget. Plus, the NAIP should be the main framework that guides public expenditure in agriculture.

Spending via the NAIP should be subjected to the rigors of monitoring and reporting on all public expenditure. Unfortunately, budget reviews tend to be far less frequently carried out than they should; their findings are often known only to a small circle and follow up often leaves much to be desired. Especially Agriculture Public Expenditure Reviews can be useful; they also can help the Ministry of Agriculture to hold the Ministry of Finance accountable. These reviews should be held as a matter of practice during Agriculture Sector/NAIP budget execution and they should also look at progress in raising and mobilising resources for specific NAIP-related investments to increase the quality of the business climate.

The private sector invests in agriculture



It appears that Ministries of Agriculture do not collect sufficient information on volume and trends of private investment in agriculture. Either because this is more a task of the Ministry of Trade, because they have not done so in the past, or because they have not yet developed a need for such information. Mechanisms should be developed at country level to collect this information and use it in (NAIP) planning processes. Information should also be sourced from central banks on the level of financing of agriculture while domestic and regional Bankers Associations can provide information on credit to the agriculture sector. A comparison of private investment trends with regional data can either point at the scope for improvement (country trends below regional average) or can confirm a strategy as having been successful (country trends above regional average). Investment trends for different commodities can be linked back to the Stocktaking Report and linked forward to the plan to stimulate agri-business and private investment (under the NAIP Formulation and Appraisal Component).

NAIP activities are implemented as per plan and on time

When funding (public expenditure and private investment) is assured (see above), then the likelihood of NAIP activities being implemented as planned increases. Timely implementation is crucial because of the seasonal agricultural cycle.

Programme progress reviews should be part and parcel of the implementation process. Important is to assure quality of these reviews and the widespread dissemination of their findings especially below the national level and beyond the government. In as far as possible make sure that development partners do joint reviews with the government, and if they need separate reviews, let the total number be limited to just one per sector or programme. This in order to avoid that government's staff-time and the capacity of statistical bureaus is permanently high jacked by donor missions' need for information. Joint reviews can include Mid-Term Programme Reviews, Joint Sector Reviews and Sector Performance Assessments. Reviews should also monitor progress in creating an enabling environment for agri-business.

Mutual accountability is upheld

Implementation systems are strengthened by accountability. This can be within the public sector, with decision makers being held accountable by implementers and vice versa. It should take place between those who are responsible for financing and those responsible for carrying out activities under a NAIP. Particular efforts must be made to capture the view of beneficiaries of the NAIP on a regular basis. This does not need to be in the form of questionnaires (too costly), but can be via public meetings where government presents its plans and achievements for public discussion, through dial-in radio broadcasts where stakeholders can give their opinion or in the form of 'scorecards'. Whatever the means chosen, government must keep 'a finger on the pulse' if it is to succeed. Media and press reports on agriculture and agriculture programmes are an important means to further bolster mutual accountability.



Annual planning is informed by implementation

NAIPs are of medium term duration, usually four to six years. Even when every effort was made to come up with the best possible strategy, it is only during implementation that this can prove itself. Annual planning can and should absorb the lessons of implementation. Countries that have made most progress against their agricultural targets are countries that routinely learn from experience. This kind of 'learning culture' is often absent, either because political forces prefer a status quo, or simply because 'business as usual' is easiest. NAIP stakeholders should join forces to ensure that experiences are not made for nothing and lessons are not lost. This often requires a transparency of information on the public sector side, and strong partners in advocacy and lobby on the non-state actor side.

6 Mutual accountability under the Malabo Declaration

Milestone	Country report to the Biennial Review
Deliverables	Country Malabo M&E mechanism: Contains key indicators against the seven Performance Areas to be measured and compiled at country level
	Timely monitoring of progress towards Malabo targets: Timely delivery of the country progress report to the responsible Regional Economic Community

6.1 Biennial Review

As discussed before, Heads of States have committed to be held accountable every two years, for their country's performance vis-à-vis the Malabo Declaration targets. To support this promise, they also agreed to foster coordination between multi-sectorial efforts and multi-institutional platforms for peer review, learning and accountability; and they agreed to strengthen national capacities for knowledge and data management to support evidence-based planning, implementation and M&E.

A continent-wide reporting mechanism to deliver timely and quality information to inform the reporting and review process was called for in the form of the Biennial Review process. The outcome of the Biennial Review will feed into various CAADP platforms such as the Partnership Platform (CAADP-PP), the CAADP Permanent Secretaries Retreat (PS Retreat), and the AU Joint Conference of Ministers of Agriculture, Rural Development, Fisheries and Aquaculture, to inform the strategic decisions made at these platforms regards the thematic areas of the Malabo Declaration.

However, primarily, the Biennial Review should strengthen countries in their ability and their resolve to meet targets, also because the comparison amongst peers will offer useful information from a regional and continental perspective and will highlight the scope for improvement at country level.

Detailed information on the Biennial Review is presented in a separate CAADP guidance note . The sections below draw on that note and summarise the implications at country level.

6.2 Performance Areas

The Malabo Declaration has seven broad areas of commitments and so it follows that the Biennial Review too is divided into these seven areas. These are:

- **Performance Area 1:** Commitment to CAADP process
- **Performance Area 2:** Investment Finance in Agriculture
- **Performance Area 3:** Ending Hunger
- **Performance Area 4:** Eradicating Poverty through Agriculture
- **Performance Area 5:** Intra-African Trade in Agriculture Commodities
- **Performance Area 6:** Resilience to Climate Variability
- **Performance Area 7:** Mutual Accountability for Actions and Results

Sub-themes in each of these areas are closely linked to the Malabo Declaration commitments. Indicators measuring progress by sub-theme and performance area are listed in AUC/NPCA Strategic Guidelines on Biennial Reporting.

In terms of collecting the data to 'feed' these indicators and this need for information, the following are useful steps on a country-by-country basis:

Identify the plans and programmes that strive towards Malabo Commitments

These will include, but not be limited to, the NAIPs: Burundi has a separate national plan that deals with food security next to its NAIP; Malawi has a separate National Export Programme, that also deals with agricultural trade and exports and that is under the Ministry of Trade; Tanzania has an Agricultural Sector Development Programme (besides its NAIP) that deals with smallholder farming; and in every country the Ministry of Trade (& Industry) is to a large extent responsible for achieving the Malabo commitment on tripling inter-African trade.

With regard to specific Malabo Declaration commitments, identify relevant data already collected

For each of the seven performance areas and their sub-themes, it is likely that countries already collect information as part of their ongoing M&E of relevant programmes or simply as part of the regular statistical surveys and data collection (e.g. household surveys). An assessment should be made of which data is already routinely collected that can be 'fed into' the Biennial Reporting process.

Useful too is to check what are the cycles of current and relevant programmes and to see how these can feed into the Biennial Review. If possible, existing M&E cycles can be aligned to the Biennial Review also time-wise, i.e. to produce results in time for them to be processed for use in the Biennial Review.

Identify 'information gaps' with respect to Malabo Declaration commitments

Countries can identify on which Malabo commitments they collect insufficient information, under their current complement of development programmes. Here, the country may need support to fill the gap to ensure a full data set for the Biennial Review.

6.3 Impact of the Biennial Review on the CAADP Process

The Biennial Review will change and to some extent consolidate the CAADP process. There will be additional responsibilities at all levels, while the CAADP events at continental level will be aligned to the Biennial Review, both in terms of time as well as purpose (this includes the CAADP Partnership Platform, the Permanent Secretary Retreat and the Conference of Ministers of Agriculture). Annex 8 present a detailed time-line for the Biennial Review process.

Country responsibilities according to the CAADP Guidelines on the Biennial Review will include:

1. Hold in-country consultations for making available all the required data according to the seven thematic areas of the reporting format

2. Draft the country report in consultation with national stakeholders
3. Validate the country report at national level
4. Present country report at sub-regional validation meeting (data harmonization & alignment)
5. Amend country report based on recommendations of the sub-regional validation meeting
6. Submit final report to African Union Commission for compilation prior to AU Assembly

To facilitate the country reporting process, the CAADP Guidelines on the Biennial Review advise countries to designate a National Biennial Review Focal Point Person to lead the national consultation process, to be the liaison person to the AU, and to represent the country at sub-regional and regional review platforms. This Biennial Review Focal Point should be an agricultural data specialist and does not need be the CAADP focal person, or the Permanent Secretary of Agriculture.

In addition, countries are advised to organise the national stakeholders involved in the reporting process under a national Joint Sector Review (JSR) platform. Many countries have Joint Sector Reviews ongoing, and they can tailor these to the demands of the Biennial Review process (Annex 9 provides the JSR guidelines).

Some countries also have a Strategic Analysis Knowledge Support System (SAKSS) node platform to strengthen national capacity in policy analysis, review and dialogue in support of NAIP implementation. The SAKSS node can be used to strengthen country-level coordination among different stakeholders that constitute the country SAKSS network. For countries without a SAKSS node, AUC, NPCA and RECs can mobilise support to establish such a SAKSS node.

6.4 Time-line for the Biennial Review

As its name implies, the Biennial Review is held every two years. The first continental report on progress (the 'inaugural' report) is to be presented to the Africa Union Assembly in January 2018.

The year 2016 is still devoted to developing the foundation in terms of systems and processes, with countries beginning to compile country reports from the year 2017 onwards.

The Malabo Declaration covers a period until 2025, which means five Biennial Review cycles can be completed with reporting to the AU Assembly taking place in 2018, 2020, 2022, and 2024 plus a final concluding one in January 2026 (see annex 8).

6.5 Milestone and Deliverables

The Country Report to the Biennial Review based on objective and quality data reflecting the status of country implementation is the milestone under this component.

The deliverables at the country level build onto the deliverables under the first country component:

Country Malabo M&E mechanism

This M&E mechanism should contains key indicators against the seven Performance Areas of the Malabo Declaration that are to be compiled at country level. This mechanism builds up on the Country Profile, prepared under the first component, as the means by which plans and programmes that were listed under the Country Profile are monitored.

Timely monitoring of progress towards Malabo targets

The deliverable here is the collection of data on time to be used in the Country Biennial Review Report. The process of data collection builds up on the Malabo Declaration Country Roadmap, which was the country's strategy for closing the gaps and improving coordination across programmes prepared under the first country CAADP component.

7 Conclusion

Putting into practice the noble goals agreed on paper is not always easy. This is when declarations full of hope and good intentions meet with reality. But reality, in turn, offers many lessons and often very encouraging ones. There is no better teacher than that of experience itself.

The Maputo Declaration of 2003 already had its share of challenges in implementation, and the Malabo Declaration of 2014 does not make the task any simpler. Yet, agricultural sectors have grown stronger because of CAADP. Cooperation between partners, especially government and the private sector has increased, plans are increasingly based on an investigation of potential and nationwide programmes have fostered a unity of purpose and direction, also for development partners.

Countries can build upon these strengths. Agricultural plans, already based on technical agricultural potential, can be further adapted to take more account of what is realistically and politically feasible. The evidence-based plans of the Maputo-era can now also be 'experience-based', incorporating knowledge on what has worked and what has not worked, either in the country itself, or in other CAADP implementing countries.

This is what this guide has aimed for: The kind of realistic, incremental planning and implementation, that neither shies away from challenges, nor ignores the bottlenecks that prevent a plan from delivering. This is the reason these guidelines are firmly rooted in country experiences and make liberal use of country's best practices in solving problems.

Implementation is never as straightforward or clean-cut as planning. Often, this tempts practitioners to create a new plan, when an existing one does not work, thereby contributing to the kind of confusion that comes about when an agriculture sector labours under too many plans, with those in charge finding it difficult to keep an overview of which plan is meant to achieve what.

These guidelines hope to encourage planners to stick with their plan, and to squarely and honestly face the challenges of implementation. Implementation does not need to be perfect, but it does need to be good enough. Progress may be slower as envisioned but it must be in the right direction.

The Malabo Declaration now gives that direction at a continental level. Heads of States signed this Declaration, thereby giving it legitimacy at national levels. This high-level political commitment must be capitalised upon, it can give agriculture sectors and their champions the kind of leverage they need in order to make cooperation across sectors a possibility, and to forge ahead towards finally delivering on promises of food security, rural jobs and the prosperity of small and medium farmers.

But the journey is a long one, and it is understood that these guidelines can only do so much to assist

those undertaking it. NEPAD, together with the AUC and the RECs, continues to be committed to support countries. These guidelines will be complemented on an ongoing basis by information-products and technical support that can address issues whenever these arise. For continental and regional CAADP actors to do their job and to offer the kind of services that countries have a right to expect, countries must communicate, frankly and transparently, and inform CAADP actors of what their problems are, and with which initiatives they would be helped.

CAADP actors at all levels cannot afford to wait until 2025 to review what the Malabo Declaration has brought. Fortunately, their agreement to be held accountable every second year gives momentum to implementation, especially at country level, as this is ultimately where development is achieved. So let's leave 'business-as-usual' behind, embrace a learning culture and join forces at eye-level with the private sector and civil society towards a common goal.

Annex 1 Further support instruments for Country CAADP Implementation

Technical Notes

A series of Technical Notes is being produced to accompany these guidelines and to further support the Country CAADP Implementation process. Themes will include: Public intervention to stimulate private sector growth; Use and impact of market regulation; Pros and cons of price control; Smart targeting of input subsidies; Land reform; Regional market integration; Value Chain Approaches etc.

Technical Notes will also provide detailed 'How to' information on management tools such as Medium Term Expenditure Frameworks, Agriculture Public Expenditure Reviews, Development Partner coordination mechanisms, Performance Assessment Frameworks and scorecards.

Experts relevant to the topic will write these Technical Notes and information will be updated when necessary. Technical Notes will be made available by NEPAD in hard copy and via the NEPAD/CAADP website. Country stakeholder can use Technical Notes as per demand and they will form part of the information material in AUC/NEPAD facilitated country visits and workshops.

Technical Networks

Technical Networks are 'Communities of Practice' that will provide technical support and capacity development to AU member States and in particular to CAADP implementers. Technical networks will develop mechanisms and tools to support the implementation of specific Malabo Declaration content areas. In some cases, the experts that are part of Technical Networks will also be responsible for the writing of the Technical Notes described above.

Specifically, technical networks will provide: Best practice or state-of-the-art methods and tools in specific technical areas; Targeted training and other capacity development support as appropriate & demanded; Technical advice responding implementation challenges; Occasional situational analyses; and the facilitation of learning and sharing.

Technical Networks are based on the Malabo Commitment areas as follows:

<i>Malabo Commitment</i>	<i>Issues covered by the Technical Network (indicative)</i>
Recommitment to CAADP	General NAIP appraisal and implementation; Embedding NAIPs in Country Systems; Strengthening country systems through NAIP implementation.
Agriculture financing	Domestic, foreign, private and public investment in agriculture including models & policies for facilitating such investments.
Nutrition and Food Security	Topics in nutrition; Policy, multi-sectoral planning and coordination to address nutritional and food security & limit post-harvest losses; Strategic Food Reserves & Safety Nets.
Agricultural Research & Development (ARD) and Extension	The African science and research agenda; Capacity Development for research; Extension and advisory services; Strategies and plans for developing requisite ARD capacity; Addressing agricultural technology gaps (through research); Capacity and models of extension/advisory services that deliver to farmers.
Agro-industry & value chain development	Value addition to agricultural commodities and general agro industrial development; Value Chain (VC) development issues; Enhancing functionality of VC through actor linkage; Actor empowerment with capacity and information; Pricing, credit, product quality; Appropriate technology, policies and organization of last-mile delivery of agricultural inputs and service.
Markets & regional trade	Regional and global trade issues (policies, facilitation, barriers, Sanitary and Phyto-Sanitary (SPS); Food safety; Market development (information, infrastructure)
Resilience, risk management and natural resources management	Resilience and risk management; Climate change mitigation & adaptation (including climate-smart agriculture); Irrigation & water management; Land issues.
Knowledge Management, policy analysis and accountability for results	NAIPs development and reviews; Mutual Accountability and Biennial Review systems; Measurement, monitoring, evaluation; Strategic planning processes; Sector coordination; Policy analysis; Agriculture statistics and data management; Knowledge generation and dissemination.

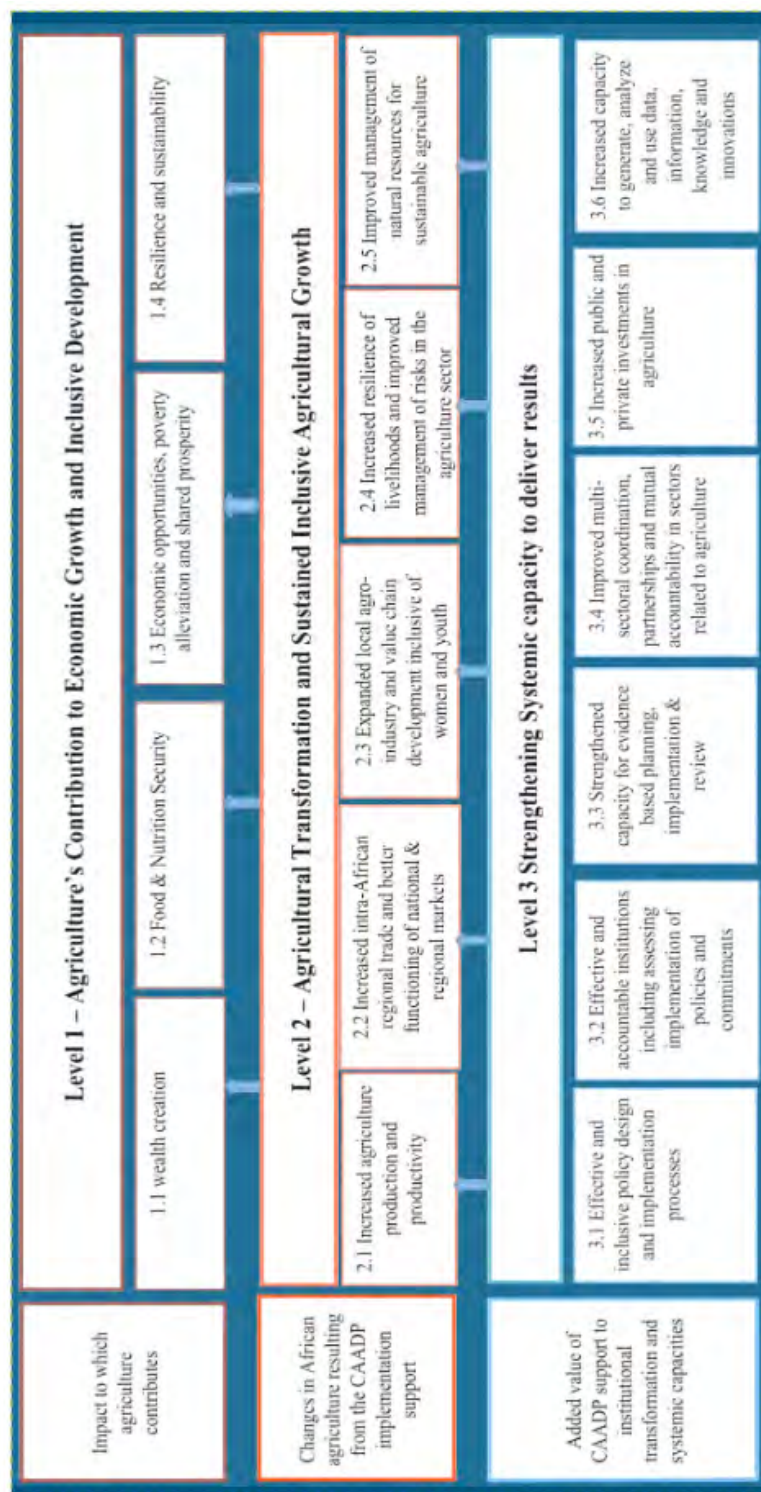
NAIP Analysis Toolkit

A common set of analytical tools, metrics and approaches have been identified and can be used to measure and monitor NAIP progress against Malabo targets. This toolkit is still under development but its focus will be on identifying metrics for key goals and targets, tools for tracking milestones. In addition, the toolkit presents key steps for using metrics and tools to assess the status of individual countries and to define country-specific targets and milestones that will guide the design of future investment plans in the following thematic areas:

1. **Overarching goals, targets and commitments** in particular the national level goals of achieving 6% agricultural sector growth, halving poverty, and eradicating hunger by 2025;
2. **Inclusive growth and value chain development** using economy-wide analysis to identify the most promising commodities and value chains (5 in all) that can drive overall sector and income growth;
3. **Regional trade** first determines the current state of affairs with regard to the volume of trade with other African countries in the region as a basis for projections for regional trade increase;
4. **Nutrition** focuses on the targets in the Malabo Declaration of ending hunger, reducing stunting of children under-5 years to 10% and reducing underweight of children under-5 years to 5%;

5. **Climate Smart Agriculture** analyses the country's threats of climate change and resilience to future shocks;
6. **Gender analysis** is carried out across the five domains of the Women's Empowerment in Agriculture Index (WEAI).

Annex 2 CAADP Results Framework



Annex 3 Overview of the Malabo Declaration Commitments

Malabo Declaration on Accelerated Agricultural Growth and Transformation for Shared Prosperity and Improved Livelihoods, Malabo, Equatorial Guinea, from 26 - 27 June 2014

1. **Recommitment to the Principles and Values of the CAADP Process**
2. **Recommitment to enhance investment finance in Agriculture**
 - Uphold 10% public spending target
 - Operationalization of Africa Investment Bank
3. **Commitment to Zero hunger - Ending Hunger by 2025**
 - At least double productivity (focusing on Inputs, irrigation, mechanization)
 - Reduce PHL at least by half
 - Nutrition: reduce stunting to 10%
4. **Commitment to Halving Poverty, by 2025, through inclusive Agricultural Growth and Transformation**
 - Sustain Annual sector growth in Agricultural GDP at least 6%
 - Establish and/or strengthen inclusive public-private partnerships for at least five (5) priority agricultural commodity value chains with strong linkage to smallholder agriculture.
 - Create job opportunities for at least 30% of the youth in agricultural value chains.
 - Preferential entry & participation by women and youth in gainful and attractive agribusiness
5. **Commitment to Boosting Intra - African Trade in Agricultural Commodities & Services**
 - Triple intra-Africa trade in agricultural commodities
 - Fast track continental free trade area & transition to a continental Common External tariff scheme
6. **Commitment to Enhancing Resilience of Livelihoods & Production Systems to Climate Variability and Other Shocks**
 - Ensure that by 2025, at least 30% of farm/pastoral households are resilient to shocks
7. **Commitment to Mutual Accountability to Actions and Results**
 - Through the CAADP Result Framework, conduct a Biennial Agricultural Review

Annex 4 Link CAADP Results Framework and Malabo Declaration

Note that Malabo Declaration Commitments 1 and 2 are at Level 3 of the CAADP Results Framework. Malabo Declaration Commitments 3 to 6 are at Outcome Level 2 and at Impact Level 1. Commitment 7 is about the biennial reporting on progress against the whole framework.

Level 1 Agriculture's contribution to economic growth and inclusive development			
1.1	Wealth creation	MD 4 Halving poverty through inclusive agriculture growth and transformation	
1.2	Food and nutrition security	MD 3 Ending hunger by 2025 and reduce stunting to maximum of 10%	
1.3	Economic opportunities, poverty alleviation and shared prosperity	MD 5 Boosting intra-African trade in agriculture commodities and services	
1.4	Resilience and sustainability	MD 6 Enhance resilience of livelihoods & production systems to climate variability & other shocks	
Level 2 Agricultural transformation and sustained inclusive agricultural growth			
2.1	Increased agriculture production and productivity	MD 3 Ending hunger through doubling productivity	MD 4 Halving poverty through sustained annual growth of min. 6%
2.2	Increased intra-African regional trade	MD 5 Triple intra-African trade in agricultural commodities	
2.3	Expanded local agro-industry and value chain development inclusive of women & youth	MD 4 Halving poverty through inclusive public-private partnerships for at least 5 priority value chains	
2.4	Increased resilience of livelihoods	MD 6 Enhancing resilience of livelihoods and production systems to climate variability & other shocks	
2.5	Improved management of natural resources		
Level 3 Strengthening systemic capacity to deliver results			
3.1	Effective and inclusive policy and implementation processes	Malabo Declaration (MD) Commitment 1: Recombitment to the principles and values of the CAADP Process	
3.2	Effective and accountable institutions		
3.3	Strengthened capacity for evidence based planning, implementation & review		
3.4	Improved multi-sectoral coordination, partnerships and accountability in agriculture related sectors		
3.6	Increase capacity to generate, analyse and use data, information, knowledge and innovation		
3.5	Increased public and private investments in agriculture	MD 2 Recombitment to enhance investment in agriculture	

Annex 5 NAIP Appraisal checklist and ToolKit

The checklist below is divided into four areas of appraisal as are discussed in the Guidelines: Policy & Planning; Finance & Investment; Coordination & Cooperation; Monitoring & Accountability. It can be used in a (self)-assessment', e.g. at formulation stages (in countries designing a NAIP) or as part of ongoing M&E (in countries with ongoing NAIPs). It can be used in full (for a thorough sector-wide assessment) or in part (when focusing on bottlenecks in particular areas. Note that this checklist is not exhaustive and may be reviewed and adapted to suit individual countries needs and purpose. In addition to the checklist a **NAIP Appraisal Toolkit** is available to guide countries measurement, methodology and identification of priorities for investment in the NAIP.

1. Policy & Planning

1.1 Formulation of the NAIP

- Who participated in the formulation and the design of the NAIP?
- What was the composition of the CAADP Round Table? How inclusive was this group? Did it represent the main stakeholders?
- Is the NAIP widely owned and widely known?
- Was a Stocktaking Exercise undertaken as a basis for the NAIP? Have its findings been translated into the NAIP?
- Did discussions on instruments (including policy measures) take place during the stock taking Exercise and what are the outcomes?
- Is the NAIP about private sector driven growth (and does it pay attention to cash crops) or public sector driven production (and does it focus mostly on staple crops)?
- What is the scope of the NAIP? Sector-wide? Sub-sector wide? Ministry-narrow?

1.2 NAIP in the overall planning and programme context

- What is the planning hierarchy: From the country's Vision down to the NAIP?
- How are different planning frameworks aligned?
- What are the timeframes of different planning frameworks?
- Is there a National Development Plan (NDP)?
- What is the link between the NDP and the NAIP?
- Is the National Development Plan aligned to the Malabo Declaration?
- Is there a national Agriculture Policy? Does it pre-date the current NDP and has the NDP been based on this policy? Or was it formulated after the NDP and does it draw from the NDP? Who does the Agriculture Policy mandate; and what are implementing institutions?
- Does the country have an Agricultural Strategy that is sector-wide in that it is a guiding framework for all ministries, institutions and actors relevant to agriculture?
- Is the policy and legislative framework conducive for implementation of the NAIP?
- What other national agricultural development programmes exist in the agricultural sector next to the NAIP? What is their timeframe and what is their scope? (e.g. national strategies for food security, agricultural trade, climate change, rural employment, women and youth)
- Are the roles between the NAIP and other national agriculture programmes clearly defined?

1.3 NAIP and implementation instruments

- What are the implementation instruments (technical, regulatory, financial, organizational) that Government will implement to achieve the level 2 results?
- What mechanisms are envisioned to ensure the operation of these instruments?
- Which indicators will be used to monitor the implementation of these instruments and their effectiveness?

1.4 Translating NAIP into annual work plans

- Is the NAIP part of the annual planning process? Of the Ministry of Agriculture, or also of other (agriculture related) ministries?
- Do the activities described in the NAIP rely on operating relevant implementation instruments?
- Do DPs supporting the NAIP contribute to overall government work plans? To what extent?
- Or does DP support to the NAIP take the form of (individual or joint) DP supported projects for which separate work plans exist?

2 Finance & Investment

2.1 Budget process

- Is the NAIP budget developed based on the resources the public sector will invest in operating the relevant implementation instruments identified?
- From when to when is the country's budget cycle?
- Is the budget process transparent and accountable?
- Is CAADP target of 10% of public expenditure to agriculture reached? Since when? If not, what is the proportion of public expenditure to agriculture?
- Does the country have a Medium Term Expenditure Framework (MTEF)? For the country as a whole or only for selected sectors?
- Is the MTEF sector-based or institution-based? Meaning: is there an Agriculture MTEF (i.e. relevant for all ministries contributing to agriculture) or an MTEF for the Ministry of Agriculture?
- Is the NAIP linked to the MTEF? In what way?
- Is there a parliamentary committee on Agriculture? What is its composition and capacity? Is it sufficiently representative and capable and is it informed timely in order to do its work?
- Is the NAIP discussed during the annual budget session?
- Are Public Expenditure Reviews (PER) made regularly? Has an Agriculture PER been done recently? Were its findings integrated into the finance management system?

2.2 Development Partner Funds

- Who are DPs supporting the agricultural sector? Who are DPs supporting the NAIP?
- Are DP contributions to the agriculture sector and/or to the NAIP reflected in the budget papers (i.e. 'on-budget')?
- What is the proportion of government and DP funds under the NAIP?

- Are there non-governmental DPs (e.g. NGOs, charities, global funds) active in agriculture? Are these contributions captured, are they 'on-budget'? What is their proportion of funds to the total sector budget?

2.3 Private investment

- How is private investment attracted to the sector?
- Does the NAIP have a clear strategy concerning the most important cash crops in the country? Does it specify how to make existing investment in these cash crops work for pro-poor and equitable growth?
- Is existing investment in agriculture taken into account (or made optimum use of to achieve NAIP targets)? Both at national and at sub-national levels?
- Does the NAIP budget include public finance and private investment? What is the perceived share between the two (public versus private funds)?
- Is private investment in the agriculture sector regularly measured? By the Ministry of Agriculture or by the Ministry of Trade (and Industry)? Are policy makers, planners and decision makers in agriculture aware of trends of private investment in agriculture? Is information on these trends a fixed ingredient in strategic and programme planning?
- Are regular public-private dialogue platforms held? How are they organised: By value-chain, by region, by theme, by size of the business (small, medium, large and global)?
- Is information obtained through these public-private platforms, or via public-private dialogues, used in strategic and programme planning?
- Is the country one of the 14 in the WB's 'Enabling the Business of Agriculture' monitoring database? Are reports taken note of, are recommendation implemented?

3 Coordination & Cooperation

3.1 State and Non-State Actors

- Who are the actors contributing to NAIP implementation? Do they include public sector and non-state actors?
- Is the NAIP clear on roles? For both government and private actors? For national and sub-national levels? Are actors aware of their planned role?
- Is the private sector organised, strong and vocal?
- Are farmers organised, strong and vocal?
- Is the NAIP oriented more towards creating an enabling environment for private sector investment and is all public service delivery seen through the lens of improving that enabling environment? Or is it more about 'business as usual' with respect to public service delivery?
- Is room given to agri-business under the NAIP and as an outcome of NAIP implementation?

3.2 Sector coordination

- If there is a medium term (e.g. five years) National Development Plan, who is the lead on this plan? Ministry of Finance and/or Planning?
- How is implementation under the NDP coordinated? Are ministries grouped or clustered under NPD Components? (e.g. Governance, Social Services, Economic Development)

- How is coordination across sectors that are relevant to agriculture achieved? (e.g. agriculture, trade, environment, water).
- How is coordination across ministries achieved? Cross-sectoral coordination by Agriculture possible - or central government role necessary? Is there an Inter-Ministerial Committee on Agriculture?
- What is the current role of central government (e.g. Ministry of Finance or Planning) in NAIP implementation?
- Does coordination within the Ministry of Agriculture work? E.g. across different departments and between national and sub-national levels.
- Who is the NAIP owner, leader, host or coordinator?
- How is coordination between public and private actors achieved?
- Are there Technical Working Groups as part of the NAIP coordination mechanism? Is coordination in the group's results-oriented, do these working groups produce the desired outcome in a timely manner? Are their recommendations taken on board?
- Is the private sector part of the regular NAIP coordination mechanisms? Are they willing to come to coordination meetings? Do they feel their voice heard?

3.3 Development Partner coordination

- How are Development Partners coordinated? By the government and in the agriculture sector? (e.g. Aid Policy, Memorandum of Understanding of Understanding, Code of Conduct, Division of Labour, Joint Assistance Strategy)
- Do Development Partners in agriculture have their own coordination mechanism? What is its name, purpose, scope and composition of the mechanism?
- Is there a lead donor in Agriculture? Who is it?
- Is Development Partners coordination government-driven? Does government manage to align it DPs behind its plans? What appears to be truer: DPs are pushing their agenda or the government coordinates?

4 Monitoring & Accountability

4.1 Monitoring

- What is the nationwide system of monitoring: is it built up logically and comparably for all sectors? Has it been built from the top (e.g. with the National Development plan as the base and sector's M&E Systems drawn from there) or is it built from the bottom with each sector having developed its own M&E over time? Or are top-down and bottom-up systems linked?
- What is the strength and role of National Bureaus of Statistics or National Statistical Office? They collect which proportion of the data used for M&E (also by DPs)? What are their main problems; are these considered a priority (also by DPs) and are these addressed?
- Are M&E findings used for Management Information Systems (MIS)? At what level?
- What does the Ministry of Agriculture MIS and M&E systems look like? Is it connected to other M&E systems at sector level (e.g. exchange of information or joint data collection with other agriculture related ministries)? Is it linked to national level M&E (e.g. under the NDP)?

- In case more ministries contribute to the implementation/outcome of the NAIP, is the monitoring of NAIP implementation mainstreamed in M&E of contributing ministries? Or is all that is NAIP relevant monitored through a separate programme M&E?
- Does the agriculture sector have a Management Information System (MIS) in place? Across the sector or for individual ministries?
- What is the scope for M&E of cross-sectoral activity? (i.e. the monitoring of activities that are implemented by different actors even under different ministries)
- How many indicators are to be monitored for NAIP implementation? How have these indicators been formulated? Were they taken from higher frameworks like NDPs? Or newly formulated at the time of NAIP formulation?
- Does the country have a Performance Assessment Framework (PAF)? At what level? Is there a PAF for the agriculture sector?

4.2 Monitoring by Development Partners

- Do DPs in the sector buy into the indicators and monitoring systems of the country or do they have their own monitoring indicators and arrangement?
- Does the sector do a Joint Sector Review (JSR)? How frequently? How much of the last JSR's recommendations have been turned into action? What was the reason that certain recommendations were not followed up?

4.3 Accountability

- Is M&E taken seriously? Is there a 'learning culture' in government?
- Is budget execution reported back in parliament? Is there scope for scrutinizing government's reports/budget speech?
- Are M&E findings widely disseminated and accessible? Are they followed up?
- Is the NAIP known beyond government or below the national level? Who cares whether NAIP is implemented or not?
- Is government held accountable? By parliament/MPs? By stakeholders/citizens? Is there a free press? What is the role of the media in monitoring and accountability?

Annex 6 Comparison between the Agriculture SWAP and the NAIP

The Agriculture SWAP (introduced around the mid-90s) and the National Agricultural Investment Plan (first developed in Rwanda, October 2009) both pursue the same goal: Increased food security and equitable agriculture growth. However, the reason for their origin was different. The SWAP was a response to the double (and sometimes related) curses of highly fragmented aid and collapsing country institutions. The SWAP sought to harmonise aid while also making more use of national instruments (policies) and systems (financial management, monitoring) to align, coordinate and even channel that aid (budget support). The purpose was to thereby restore country's leading role and strengthen its systems.

The origin of the NAIP was the realisation that agriculture growth is needed, and while success stories exist but are scattered across the continent. The pan-African CAADP vehicle offered a continental platform for identifying and upscaling such success; via country level plans that are based on country-specific potential (stocktaking) that is supported through (evidence based) investment targeting areas most suitable for broad-based agriculture growth. Alignment and harmonisation of aid was always just a side-objective of the NAIP; the NAIP was never designed as an aid instrument the way the SWAP (originally) was.

	Agriculture SWAp	NAIP
Purpose	Increased food security and equitable agriculture growth	
In existence:	Since mid 1990s	From 2009 onwards
Original reason:	Ineffective aid & the collapse of country financial systems	Slow and uneven African agriculture growth
Main objective:	Strengthened Country Systems	Up-scaling of best agricultural practices
A new approach to:	Sector & Aid Management	Investment Planning
Emphasis is on:	Government ownership; the policy dialogue	Country ownership; inclusiveness; evidence-based planning
Instrument for:	Public management of the sector and aid harmonisation	Planning of investment in the sector
Focus is on:	Public expenditure: Both by Government & DPs	Investment: by the Public & Private sector
Scope:	Based on public mandate	Meant to be sector wide
Role:	Addressing a public need	Exploiting private sector opportunities
Leans towards:	Food security, rural employment	Agriculture growth

Annex 7 National Development Plans and NAIPs

Below is an overview of National Development Plans and NAIPs in the countries visited as part of the CAADP and Country Systems Study and the NAIP Appraisal.

Note that in Rwanda the timeframes of national and sector programmes as well as that of the resource envelope (ASIP) is synchronised. This greatly facilitates planning, budgeting and monitoring.

Rwanda		
EDPRS II	Economic Development & Poverty Reduction Strategy	2013 – 2017
PSTA III	Strategic Plan for the Transformation of Agriculture	2013 – 2017
ASIP II	Agriculture Sector Investment Plan	2013 – 2017
Tanzania		
Mkukuta II	Tanzania Poverty Reduction Strategy	2011 – 2015
ASDS II	Agriculture Sector Development Support Programme	2015 – 2024
TAFSIP	Tanzania Agriculture and Food Security Investment Plan	2011 – 2021
ASDP II	Agriculture sector Development Programme	2014 - 2020
Burundi		
CSCP II	Cadre Stratégique de Croissance et de Lutte contre la Pauvreté	2012 – 2016
SNA	Stratégie Nationale Agricole	2008 – 2015
PNIA/PPIA	Plan National / Plan Provincial d'Investissement Agricole	2012 – 2017
PNSA	Programme National de Sécurité Alimentaire	2009 - 2015
Malawi		
MDGS II	Malawi Growth and Development Strategy	2011 – 2016
NAP	National Agriculture Policy	2016 – 2020
ASWAP	Agriculture Sector Wide Approach	2011 – 2016
NES	National Export Strategy	2013 - 2018
Togo		
SCAPE	Accelerated Growth and Employment Promotion Strategy	2013 – 2017
PNDAT	National Project to support Agricultural Development in Togo	2013 – 2022
PNIASA	National Agricultural Investment and Food Security Program	2010 - 2015
Cameroon		
DSCE	Document de Stratégie de Croissance pour l'Emploi	2010 – 2019
SDSR	Stratégie de Développement du Secteur Rural	2005 – 2015
PNIA	Plan National d'Investissement pour l'Agriculture	2014 – 2018

Annex 8 Biennial Review Time-line

Year	Quarter	Activity	
2016	3	Roadmap data collection / Stakeholder consultations	
	4	Biennial Peer Review Meeting (of national BR Focal Points)	
2017	5 (1)	Preparation Country Reports	Country
	6 (2)	Preparation Country Reports	
	7 (3)	Sub-regional validation Meeting Country Reports Compilation followed by on-line validation Preparation Continental Report by 15 October	RECs
	8 (4)	Final Biennial Report Editing and printing of final Biennial Report	AUC/ NPCA
2018	1	Biennial Review – Inaugural Report PS Retreat (will receive an accountability focus) Conference of Ministers of Agric, RD, Fisheries & Aquaculture (strategic focus)	
	2		
	3		
	4		
2019	5 (1)	Preparation Country Reports	Country
	6 (2)	Preparation Country Reports	
	7 (3)	Sub-regional validation Meeting Country Reports Compilation followed by on-line validation Preparation Continental Report by 15 October	RECs
	8 (4)	Final Biennial Report Editing and printing of final Biennial Report	AUC/ NPCA
2020	1	Biennial Review – Second Report PS Retreat (will receive an accountability focus) Conference of Ministers of Agric, RD, Fisheries & Aquaculture (strategic focus)	
	2		
	3		
	4		
2021	5 (1)	Preparation Country Reports	Country
	6 (2)	Preparation Country Reports	
	7 (3)	Sub-regional validation Meeting Country Reports Compilation followed by on-line validation Preparation Continental Report by 15 October	RECs
	8 (4)	Final Biennial Report Editing and printing of final Biennial Report	AUC/ NPCA
2022	1	Biennial Review – Second Report PS Retreat (will receive an accountability focus) Conference of Ministers of Agric, RD, Fisheries & Aquaculture (strategic focus)	



Annex 9 Join Sector Review (JSR) Guidelines

A dedicated set of guidelines as well as a concept note on the JSR is available and should be used as a reference for the exercise.



Notes



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