



Launching the National Agriculture Investment Plan (NAIP) Appraisal and Formulation process in the Context of CAADP-Malabo Declaration

Country Convening and Start-up Workshop
Concept Note

November 2016

1 Introduction

1.1 General background

The African Union adopted a Declaration on Accelerated Agricultural Growth and Transformation for Shared Prosperity and Improved Livelihoods (Doc. Assembly/AU/2(XXIII) (hereafter the “*Malabo Declaration*”). The Malabo Declaration launched the second generation of 10 years of CAADP by adopting the following seven key commitments encompassing the 2025 vision and goals of Africa Accelerated Agricultural Growth and Transformation (3AGT);

- (i) Recommitment to the Principles and Values of the CAADP Process
- (ii) Commitment to Enhancing Investment Finance in Agriculture
- (iii) Commitment to Ending Hunger in Africa by 2025
- (iv) Commitment to Halving Poverty by the year 2025, through Inclusive Agricultural Growth and Transformation
- (v) Commitment to Boosting Intra-African Trade in Agricultural commodities and services
- (vi) Commitment to Enhancing Resilience of Livelihoods and Production Systems to Climate Variability and other related risks
- (vii) Commitment to Mutual Accountability to Actions and Results

Heads of State and Governments requested AUC and NPCA to develop guidelines to support Member States to domesticate and implement the CAADP-Malabo declaration. The domestication and NAIP appraisal and refresh process will support member states to update and formulate their National Agriculture Investment Plans (NAIP) and put in place necessary instruments and mechanisms needed for effective country-specific implementation and accountability.

Based on country requests, support from AUC, NPCA and RECs will be quick-started with a one-week country convening where important CAADP constituencies will be assembled to discuss and agree on a roadmap that defines steps and deliverables for the NAIP review and refresh process and follow-on implementation process. The one-week domestication process will include an initial briefing with senior level officials, followed by a quick start workshop with key technical staff from Ministries involved in CAADP implementation: Ministry of Agriculture, Finance and Budget, Trade and Commerce, Gender, Local Government, Health and Nutrition, and Education as well as Universities and research institution and other government implementing bodies involved in Agriculture transformation at the country level. The quick start workshop will also mobilize participation from the private sector, CNC/civil society and the technical and development partners supporting the country's Agriculture sector. The purpose of the workshop is to identify the country's key recommendations and deliverables to be captured in the Roadmap

The Malabo Declaration and the subsequent new Country CAADP Implementation Guidelines have further increased the need for engaging countries more directly, especially at the start of planning and formulation phases. Building on the *Country CAADP Implementation Guidelines* for the Malabo Declaration that have been shared with each country, this concept note provides guiding principles and guidance to help countries, with support from AUC, NPCA, and RECS convene a quick start workshop leading to a specific roadmap for NAIP review and refresh processes in the country. Furthermore, it describes a possible structure for the provision of direct support to country level in the context of CAADP implementation.

In preparing for the Country Support Missions, the African Union institutions have identified key principles that should guide this undertaking. These principles were taken as a basis in the proposal described here and are as follows:

1. The focus of the CAADP Country Support Missions should be on initiating the process of formulating first and/or second generation NAIP on the basis of the new Country CAADP Implementation Guidelines. These initial support missions will then kick-off a process in the country, which would eventually lead to the formulation of a new NAIP.
2. The CAADP Country Support Missions should build on previous and existing processes to support CAADP implementation at country-level. Complementarity is essential, parallel processes and duplication must be avoided.
3. The design of the CAADP Country Support Missions should factor in adequate AUC, NPCA and REC involvement and representation during the country-level workshops in order to provide continental guidance and to help to mobilise stakeholder buy-in also at political and technical levels.
4. The implementation of CAADP Country Support Missions should aim to bring under one umbrella, efforts by all development partners providing assistance to CAADP at country level.
5. The CAADP Country Support Mission should be used as a vehicle to mainstream certain thematic areas, which are relevant under Malabo, into the NAIP process, such as gender, adaptation of agriculture to climate change, agriculture vocational and technical education & training (ATVET) land policy issues, nutrition, private sector investments, (country specific)etc.
6. The process of preparation of the NAIP should be country led and country owned. This ownership of the country support mission should be demonstrated not only by country requesting for support, but also by the country's actors taking on an active role in the preparation of the mission.

This country-owned and country led process will be steered by the Ministry of Agriculture and a coordination framework that includes input and suggestions from key stakeholders representing other sectors (government, civil society, private sector and development partners).

1.2 Rationale and justification

The justification for the CAADP Country Mission has come from two sides: On the one hand is the changed context at the pan African level and on the other are the experiences at country level with CAADP implementation to date. In detail:

A changed context at continental level

CAADP completed its first cycle under the 2003 Maputo Declaration with 40 countries having a Compact and 36 a National Agriculture Investment Plan (NAIP). The Malabo Declaration of 2014, signals a new CAADP decade. Compared to its predecessor, the Malabo Declaration is more comprehensive as well as stricter with respect to results as Heads of State commit to report on progress every two years. This has upped the stakes at country level; Malabo commitments cannot be achieved by a NAIP alone but depend also on efforts in other areas such as health (improving nutrition) and commerce (tripling intra-regional trade). This means that the Malabo Declaration not only requires a NAIP that is implemented successfully, but one that is implemented in cooperation with other programmes relevant to agriculture and food security. Effective coordination under Malabo commitments must become a mainstay of implementation.

The need for private investment in agriculture is again emphasised by the Malabo Declaration. However, the first CAADP decade showed that this is an area where countries have most struggled to make progress. For Malabo commitments to be achieved, countries must now deliver on truly creating the conditions that stimulate investment in agriculture at all levels, be it by SMEs, agri-businesses or agro-processors.

Challenges of country CAADP implementation

The first CAADP ensured that its stages are established and internalised: the CAADP Compact, the Technical Review, the NAIP and the Business Meeting. In terms of achieving NAIP objectives, progress at country level has been varied. Some really have seen increased levels of public investment and agriculture growth; some have lagged behind expectations. There appear to be some common hurdles that NAIPs struggle with: 1. Increasing the amount and quality of public investment, 2. creating an environment that enables private sector driven and equitable growth and 3. Increasing the volume of ('leveraging in') private investment in the sector.

A further implementation finding is that the CAADP process is not always embedded in national systems of planning and budgeting. This seems related to the way the CAADP process was launched in some countries. By 2004, most countries had Agriculture Sector Wide Approaches in place. Some have made their Agriculture SWAP into the NAIP, aligning it to CAADP principles, but in some countries the two continued to exist side-by-side (often competing for public resources). Also, the link between the National Development Plan and the NAIP is not equally clear in different countries. As national budgets are often based on National Development Plans, a weak link to the NAIP can have financial implications.

The new demands of the Malabo Declaration combined with the continuing challenges of country level implementation, led to this initiative by AUC, NPCA and RECs to make systemic support for general CAADP implementation available to countries. The generic part of that support is provided through the new Country CAADP Implementation Guidelines. The CAADP Country Support Missions complement this by a demand driven support tailored to specific country situations.

1.3 Purpose and objectives

The purpose of the CAADP Country Support Mission is:

To support the formulation of National Agriculture Investment Plans that are aligned to the Malabo Declaration and that are firmly embedded in country systems of planning and budgeting, in order to strengthen the foundation for successful implementation.

In order to achieve this, specific objectives of the mission are to:

- create awareness among agriculture stakeholders on the Malabo Declaration and its impact on programme implementation at country level;
- introduce the Country CAADP Implementation Guidelines and discuss their use in implementation of NAIPs and other programmes relevant to agriculture & food security;
- understand the specific country context of NAIP implementation, in particular regards; policy & planning, finance & investment, coordination and (development) cooperation and monitoring & accountability.
- build a consensus among agriculture stakeholders around a way forward with respect to formulation of the new/next NAIP
- identify specific needs for institutional strengthening in order to successfully implement the NAIP in coordination with other programmes in pursuit of Malabo Declaration targets.
- Agree on a roadmap towards formulation of a new NAIP highlighting deliverables, roles and responsibilities of partners, timelines and coordination mechanisms

2 AUC, NPCA and REC Mission to support and facilitate the Country CAADP Malabo Domestication

Upon receiving a request from a Member State, AUC, NPCA and REC will work with the Ministry of Agriculture to prepare a one-week mission to the requesting country to launch the NAIP appraisal and refresh / formulation process. The country convening and start-up workshop will be held on dates and venue agreed with the host country. The process involves all key actors who are responsible for the formulation and the implementation of the NAIP.

Technical partners in each country will be available / requested to provide support to the domestication process and NAIP formulation process before, during and after the mission. Technical partners may be requested to support development of documents and materials for use during the process, identify and support trained facilitators to work with government and other workshop presenters to prepare the agenda and provide logistics support as needed. AUC, NPCA and REC will coordinate directly with government on all official arrangements for the event. The end result of the mission to the Country will be to complete a roadmap towards a refreshed NAIP that is Malabo compliant. The roadmap details key deliverables, responsibilities, timeframe. The Ministry will put in place a coordination mechanism to coordinate and monitor this joint venture between the country stakeholders and partners including the AUC, NPCA and REC.

2.1 Mission components

In order to deliver on its main outcomes, the mission includes 3 important sequences. At the start and at the end of the mission, AUC, NPCA and REC will meet with senior level Government officials from the Ministry of Agriculture and other critical line Ministries (Budget and Finance, Health and Nutrition, Trade, Environment, etc) that need to support the agriculture sector and high level representatives of CAADP constituencies at the country level: Private Sector, civil society, research organizations, and DPs. Progress in agriculture depends on the effective cooperation across ministries and key stakeholders within the country. Political ownership of a joint agenda is part of the foundation required to achieve success.

In between the meetings will be a participatory 3-day stakeholder workshop, focused on the technical rather than the political level. The outcome of this participatory dialogue will be a prioritized agenda/roadmap/action plan for the way forward. This agenda/roadmap will be presented to the senior level meeting at the end of the week, for discussion and endorsement. Therefore, the components of the meeting are:

1. High level Policy and Strategic discussions with Senior Policy officials
2. Stakeholder workshop: thematic discussions around country priorities and emerging issues related to review and revision of country NAIPs
3. Consolidation and agreement on Country Roadmap towards NAIP Formulation and Implementation

2.2 Preparation for the Country CAADP Malabo Domestication mission

Prior to the mission, countries will coordinate and agree with AUC, NPCA and REC on specific dates for the domestication process. This will be a country-led process with support from AUC, NPCA and REC.

Before the field mission, AUC, NPCA and REC together with technical partners (TPs) who will be involved in supporting the implementation of the meetings and stakeholder workshop will participate in one or more e-meetings to discuss and agree on the country visit, dates as per the discussion with the country, availability of working documents, identification of planning team, facilitators and logistics team, identification of stakeholders and technical experts to be included and overall country preparations. Communication will be a key success factor.

The TP who will support the meeting preparation and implementation will facilitate expertise that will compile country findings into four main assessment areas in consistency with the Country CAADP Implementation Guidelines namely: (i) Policy & planning, (ii) finance & investment, (iii) coordination and (iv) cooperation and monitoring and accountability. This support will provide updates on the status of the documents required: country profiles, status of NAIP implementation and thematic notes as products of the Agriculture Sector Assessment exercise. The AU team will review and provide inputs to the documents before the country visit.

The TP proposed to facilitate the workshop will work closely with the Ministry on the design of the sessions, including the objectives and key questions that will be used during the thematic discussions. The questions will allow the group discussions to identify clear action points and recommendations which will be captured in the final roadmap. The proposed questions will be reviewed and validated by the government, TPs and AUC/NPCA/REC before the country visit.

3 Annotated agenda for the meetings

1. High level engagement with Senior Policy officials on Malabo Declaration and Commitments

The Issue/s:	a) Review the Heads of State commitments and the role of CAADP in Africa Agriculture Transformation
Introductory Meeting process:	<p>Introductions</p> <p>AUC Overview of Malabo Declaration and Commitments</p> <p>NEPAD Agency Overview of CAADP Implementation Guidelines</p> <p>REC overview and status of the regional CAADP process</p> <p>Ministry of Agriculture presentation on Country Profile and status of NAIP implementation</p> <p>Review of week</p>
Meeting objective	<ul style="list-style-type: none"> • Create political awareness and ownership for an Agriculture & Food Security Agenda that requires cooperation across ministries • Build consensus around the direction of the Agriculture & Food Security Agenda aligned to the SDGs and the Malabo Declaration • Agree on the need to have a roadmap that supports the following: i) Optimizing in-country coordination and driving an inclusive implementation process at country level, ii) Reviewing National Agriculture Investment Plans (NAIP) and identifying priority programmes, iii) Advancing the policy architecture and reforms needed to develop an inclusive agriculture system, iv) Putting in place a multi-year comprehensive spending plan with the Ministry of Finance, v) Aligning countries on a performance scorecard built out of the CAADP results framework, to ensure a focus on results and accountability
Meeting process and participants:	This engagement meeting could last from 2 hours to half a day between AUC-DREA & NPCA and decision makers in the country. During this initial high-level meeting, the AU institutions will meet not only with the Ministry of Agriculture, but also with other relevant ministries.
Meeting documents	<ol style="list-style-type: none"> i. Malabo declaration ii. New CAADP Implementation Guidelines iii. CAADP Results Framework and implementation roadmap iv. Country Profile and NAIP implementation Status –following the appraisal by the country

2. Participatory Stakeholder Workshop that includes Thematic Session discussions in work groups: i) Production and productivity; ii) Private Sector Investments; iii) Trade Promotion and Market Infrastructure; iv) Food Security and Nutrition; v) Resilience and Climate Change; vi) Partnerships and

Coordination mechanisms; vii) Joint Sector Reviews and Accountability; viii) Implementation Capacity Strengthening

The Issue/s:	Clarification of Malabo commitments in each thematic areas, country status updates, challenges and way forward towards results and impact on the ground, identification of key action items to include in the roadmap	
Meeting objectives	<ul style="list-style-type: none"> • Discuss the Country status in highlighted thematic areas and reprioritization going forward • Create consensus around priorities for the new NAIP • Create consensus around priorities for improving the institutional and implementation frameworks • Review the required capacity to drive the agriculture transformation agenda • Agree on key recommendations and deliverables to be captured in the Roadmap 	
Meeting process and participants:	Facilitated discussions on specific questions related to each Technical Area on specific theme areas. With a maximum of 50 participants, this session is mostly targeting high level technical official from the Ministries and other CAADP constituencies who can make recommendations for inclusion in the roadmap. Reports / recommendations from each group captured for use in drafting roadmap	
Meeting documents	<ul style="list-style-type: none"> • NAIP implementation by thematic area • Malabo Results Framework • Country Agribusiness Partnership Framework (CAP-F) model • JSR Concept note and TORs • Biennial Review Mechanism guidance note 	

3. Consolidation of the Roadmap for NAIP appraisal and Refresh/Formulation

The Issue/s:	This session will build on the action points from the high level political engagement and thematic working sessions to define key deliverables and milestones towards NAIP formulation.	
Meeting objectives	Discuss and agree on the roadmap detailing the deliverables, timelines, roles and responsibilities and coordination mechanisms	
Meeting process and participants:	The discussion is facilitated by a Senior Ministry official to ensure country ownership from onset. Key participants from both first session (high level senior officials) and second session (high level technical official) and partners.	
Session documents	Draft Roadmap for NAIP Formulation and subsequent Implementation	

4. Conclusion and final statements

The Issue/s:	Summarize key recommendations and presentation of the Draft Roadmap	
Closing remarks from CAADP Constituencies	Lead donor of the ASWG, Private Sector, CNC, REC, FO, and Government: set date for finalization of roadmap; and pledge support and commitment to deliver on the roadmap. Government provides leadership and highlights coordination mechanisms for the process while REC and AU pledge backup.	

5. Senior level debriefing

The Issue/s:	Engage with the country leadership
Meeting objectives	<ul style="list-style-type: none"> • Debrief senior decision makers across ministries on the proposed 'next steps' agenda as outcome of stakeholder sessions • Discuss, amend and improve upon the proposed way forward • Create consensus around a way forward agenda in terms of action required in the short, medium and long term • Foster political ownership and commitment towards formulating and implementing
Meeting process and participants:	Selected participants of the stakeholder workshop representing different stakeholder categories Min. of Agriculture, Finance and Planning and agriculture-relevant Ministries, AUC, NPCA, REC, Consultants/facilitators

4 Tentative Program of the Meeting

Day 1	Setting the Scene	
08:30	Word of welcome	CAADP Focal Point
08:45	Opening remarks	AUC, NPCA, REC
09:00	Official opening	PS Ministry of Agriculture
09:15	Overview programme and objectives	Facilitator
09:30	Introduction of participants	All
10:30	Tea / Coffee	
11:20	The Malabo Declaration and implications at country level	AUC
11:40	The new Country CAADP Implementation Guidelines	NPCA
12:00	REC overview and status of the regional CAADP process	REC
12:20	Country Profile and status of NAIP implementation	CAADP Focal Point
13:00	Lunch	
14:00	Country NAIP Implementation Review	
	Country NAIP Implementation Review: Based on findings from the NAIP Review and in the context of the Malabo Declaration and the new SDGS - what are the key components of the agriculture and FS agenda and what is the relation between them?	
15:30	Tea / Coffee	
16:00-16.30	Towards NAIP Formulation: i) Role of coordination mechanisms, ii) policy actions allowing effective implementation and inclusion, iii) spending plan and iv) accountability systems	
16.30-17.00	Discussions	
17:00	Wrap up day one	Facilitator

Day 2	Getting things done together - Stakeholder workshop	
08:30	Welcome, Introductions, Objectives Recap of yesterday - look ahead at today	Facilitator
08:45	Thematic discussion and emerging issues: Introduction and principles of the group discussions	Facilitator
09:30	Planning and budgeting processes, coordination, M&E and accountability	
	Issues for discussion in concurrent sessions	
	1. Improving the flow of public finance to policy priorities: What needs to be done to ensure that public finance is balanced across policy	

	<p>priorities and programme components with respect to government and donor funding? What recommendations should be included in roadmap?</p> <p>2. Aligned, complementary and reliable DP funding: what specific synergies between government and donor funding should be aligned to ensure that core tasks are funded first, gaps are filled and duplication is avoided? What recommendations should be included in roadmap?</p> <p>3. Leveraging private investment in agriculture: what are the specific conditions necessary for entrepreneurs to invest in agriculture? What is the role of government? What is the role of the REC and the regional level? How can CAADP help create an enabling environment? What recommendations should be included in roadmap?</p> <p>4. Towards a single Agriculture Performance Assessment Framework: How will the NAIP link to JSRs and other mutual accountability structures, the roadmap showing coordination actions and interlinkages with the MA mission and the NAIP activity? What recommendations should be included in roadmap?</p> <p>5. Monitoring finance and investment to agriculture: what needs to be in place to more effectively use Financial MIS mechanisms to monitor public finance to agriculture? How can private investment in agriculture be monitored? What is the role of MoIT; and how useful are international databases such as Doing Business and Enabling the Business of Agriculture (EBA)? What recommendations should be included in roadmap?</p> <p>6. Creating and maintaining a 'Learning Culture': How can the country ensure that monitoring data are used effectively in planning and implementation? What is needed to strengthen / enhance the political willingness to learn and adapt? What are drivers (incentives) for learning and change? What are drivers against learning and change (disincentives)? What recommendations should be included in roadmap?</p>
10:30	Tea / Coffee
11:00-12.00	Group discussions continue
12:00-13.00	Presentation of Roadmap Recommendations / Overview of Afternoon Sessions
13:00	Lunch
14.00-15.30	<p>Parallel working group: Production and Productivity, Private Sector Development, Trade and Market Infrastructure</p> <ul style="list-style-type: none"> • What are the specific issues hampering productivity in Agriculture and what measures are needed to fix them? • What is the status of private sector investments in Agriculture, the investment environment and what are the required policy actions? • What is the country trade regime on agriculture commodities, laws and policy in place and what infrastructure requirements are needed to support agriculture trade? • What recommendations from each working group should be included in roadmap?
15.30	Coffee Break
	Plenary discussions
	Facilitator
17:00	Wrap up day two
	Facilitator

Day 3	Group discussion Nutrition, Climate Change	
08:00	Recap of yesterday - look ahead at today	Facilitator
08:30	Group Discussion Nutrition, Climate Change and environment, and, Implementation Capacity Strengthening	
	<ul style="list-style-type: none"> • The group will discuss the current status of nutrition of the Country, the coordination and implementation challenges of the nutrition programs and strategize on how best to mainstream and coordinate nutrition 	

	<ul style="list-style-type: none"> • The group will discuss the impact of climate change on Agriculture output and the measures make it more resilient • The group will discuss the required capacity to effectively implement • Each group to provide recommendations to be included in roadmap? 	
10:30	Tea / Coffee	
11:00-13.00	Plenary discussions	
13:00	Lunch	
14:00-17.00	Working team drafts the Roadmap for NAIP Formulation, including required deliverables (Supporting studies, assessments, consultation processes, etc.), responsibilities, time frame and country led coordination mechanism - based on recommendations from each working group	Facilitators and 1 technical representative from each discussion group

Day 4	Presentation of the meeting outcomes and validation of the country roadmap	
9.00-9.30	Presentation of the Draft Roadmap	
9.30-10.30	Facilitated Discussions	Facilitator
10.30-11.00	Coffee Break	
11.00-12.30	Defining next steps and closing remarks	Permanent Secretary/Minister

Day 5	Debrief with Senior Policy officials on Roadmap and Next Steps and Support	
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5 Outcomes of the mission

The mission will produce the following deliverables:

1. A detailed roadmap towards NAIP Formulation detailing deliverables, responsibilities, timeframes toward NAIP Formulation with its spending plan and coordination and accountability mechanism
2. Coordination mechanism of the roadmap
3. Communication mechanism between the Country, REC, NPCA and AUC