

# FARA



## **Policy and Policy-making Processes in CAADP Country Process**

**Report of AFAPP-PAKS Workshop**





# **Policy and Policy-making Processes in CAADP Country Process Report of AFAPP-PAKS Workshop**

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## Executive summary

A decade after the implementation of the continental compact, there are significant differences among countries in the knowledge level and understanding of the policy authorities of the various components of the Comprehensive Africa Agriculture Development Programme (CAADP) agenda, leading to a wide divergence of implementation activities and experiences among policymakers in different Ministries of Agriculture in Africa. Thus the rationale behind the workshop was the need to reinforce the knowledge and understanding of the major actors and stakeholders concerning policy process components of CAADP. This was done with a view to assist the policymakers to adequately tackle the food crisis in their respective countries, as programmed in the CAADP compact. Also, there is a critical need to carefully examine the implementation process in terms of the challenges faced and lessons learnt across countries and regions of Africa, thereby looking back to re-strategise for a more satisfactory outcome in future.

The CAADP Country Process represents the sequence of actions meant to be taken by member countries (that are signatories to the Maputo declaration) towards implementing the compact. The goal was to meet the United Nations Millennium Development Goal (MDG 1, of freeing the continent from extreme poverty and hunger), for which the declaration stipulates the minimum growth rate of agriculture by 6% and the commitment of a minimum of 10% allocation in the annual budget. Towards this end, the country implementation process was targeted at improving quality and effectiveness of agriculture sector programmes, through the integration of principles and values of CAADP into national agricultural development systems, thereby stimulating, guiding and facilitating national planning for agricultural development.

In this connection, Pillar IV- Agricultural Research, Technology Dissemination and Adoption (ARTDA), as the lead component for driving technological and other agricultural innovations, represents the policy backbone of CAADP Country Process, thereby constituting an integral part of agricultural development systems of individual countries already. Specifically, ARTDA (Pillar IV) contributes to the growth target in terms of increased agricultural productivity, competitiveness, markets and policy. The framework for realizing this contribution involves a ten-stage process for African countries to implement the CAADP compact. This is outlined below:

- a. CAADP Launch – for high level endorsement by governments and Regional Economic Commissions (RECs).
- b. Stock-taking process – analysis and consultations.
- c. Growth options to prioritise investments – analysis and country briefs.
- d. Compact signing and roundtable discussions.
- e. Elaboration of national agricultural Investment Plans (IP).

- f. Independent Technical Review by the NEPAD Planning and Coordinating Agency (NPCA).
- g. Business meeting – agreement on financing.
- h. Operational design of the National Agricultural Investment Plans (NAIPs) for implementation.
- i. Implementation of the NAIPs.
- j. Bi-/Annual Sector Review through the peer review mechanism.

Therefore the CAADP Country Process is largely policy-driven, whereby policy authorities and other actors are required to take decisions at different stages during implementation. The main elements of the policy implementation process within the CAADP Country Process are stated below.

- a. Issues/problems analysis – the CAADP issues/problems include poverty, food insecurity, low productivity, infrastructure, market access (input/output), safety and quality standards, technology/innovation, resource access and use, and environment.
- b. Goal and objectives (vision or direction on specific issues) – the CAADP goals/objectives include reducing poverty and increasing food security, 6% productivity growth, 10% budget allocation, dynamic agricultural markets, equitable wealth distribution, being a strategic player in science and technology and creating a safe and sustainable environment.
- c. Actors or stakeholders – the major stakeholders are governments (executive, legislators, civil servants), non-state actors and other special interest groups. The key actors include presidents/prime ministers, ministers of Agriculture, Finance, Land, Trade etc., permanent secretaries/directors, parliamentarians, the private sector, CSOs, FOs, farmers' NGOs and CAADP Country Teams.
- d. Means and measures (strategies) – human, technical and financial resources; infrastructure, institutions, evidence generation. The means include: a central CAADP implementation team, regional and country implementation teams, CAADP resource groups, compacts, investment plans, country budgets, donor funding, private sector funding, African Peer Review Mechanism (APRM), knowledge support institutions and development partners.
- e. Outcomes and impact – Income and wealth creation, enhanced well being, enhanced capacity, regional and global engagement, enhanced partnerships for mutual benefits. The CAADP outcomes and impact pertain to creating an enabling policy environment, institutional environment and capacity for effective and efficient implementation, better evidence-based investment plans, enhanced knowledge, information and skills, partnerships and alliances, high level engagement with stakeholders, empowering farmers and increased use of technology and innovation.
- f. Policy process – identifying the issues; analysing and understanding the issues (evidence-based analysis), engaging policy actors/stakeholders, debating/dialoguing, policy formulation, policy implementation. The CAADP processes involve stock taking, modelling priority growth options, roundtables and a CAADP launch, compact signing, IP formulation, IP reviews, mobilising partnerships, pushing for commitment, mobilising resources, advocacy, aligning investment financing, programme development and implementation.



The policy and institutional support to the CAADP Country Process came from a number of sources at regional and continental levels. The key networks for providing continental support and the reference institutions include: Policy Analysis and Knowledge Systems/African Union (PAKS/AU), African Food and Agricultural Policy Platform/Forum for Agricultural Research in Africa (AFAPP/FARA), Strategic Analysis and Knowledge Support System/International Food Policy Research Institute (SAKKS/IFPRI), while those providing regional support include Economic Community of Central African States (ECCAS), Regional Strategic Analysis and Knowledge Support System (ReSAKKS), Centre for Coordination of Agricultural Research and Development for Southern Africa (CCARDESA). As of January 2013, twelve countries in the SADC region have formally engaged in the CAADP process, while some countries are in the initial stages. The latter include Angola, Botswana, Madagascar, Mauritius and South Africa. Seven countries have signed their compacts (Democratic Republic of Congo (DRC), Malawi, Swaziland, Seychelles, Mozambique, Tanzania and Zambia) while two countries have reviewed their investment plans (Malawi and Tanzania). All 15 countries of the Economic Community of West African States (ECOWAS) zone have endorsed a common vision and thus signed their compact and elaborated upon the Country Investment Plans (CIP). The processes are on-going in Central Africa. The Country Process needs increased support for development and implementation of regional IP, including technical backstopping to country teams and facilitation of deployment of experts to support CIP implementation as well as awareness of the on-going Pillar IV awareness and buy-in. Though the Monitoring and Evaluation (M&E) framework was already operationalised there is need for monitoring implementation and periodic impact assessment exercises, including annual reviews. Also there is a necessity for synergy creation between the supports provided by Pillar lead institutions.

The policy process within CAADP are comprised of state and Non-State Actors (NSA), including women and youth. The NSA faced challenges which include their negative attitude towards agriculture resulting from or manifesting in certain ways, such as minimal participation in policy, strategy, programme and implementation, as well as M&E systems; limited access to information regarding opportunities across value chains, i.e. how to start, grow and sustain agricultural enterprise; limited access to technology, markets and land; limited access to technical skills, experience and capacity building and lack of proper reproductive infrastructure that makes it easy to do business.

The policy process within CAADP denominates into certain activities of member countries to be specified thus:

- a. Domestication of CAADP instruments, in terms of policy and legal frameworks required for implementation.
- b. Compliance with CAADP obligations such as the need for the preparation of an investment plan as well as other budget and non-budget stipulations.
- c. Management of CAADP-stipulated policies in terms of proper engagement of institutions and in-country actors during implementation.

In these respects the status of implementation varies widely among the countries. Correspondingly, the countries can be divided into three categories:

- i. Countries that have not formally engaged in CAADP, having not taken a policy step to sign the compact till date.
- ii. Countries that have formally engaged but failed to undertake the required policy measures towards the domestication of the compact.
- iii. Countries that have undertaken concrete measures to implement CAADP but have not managed the process well in terms of the relevant institutions and other actors that have not been properly engaged.

Ghana presents a typical case to illustrate the policy process within CAADP, wherein the key lesson learnt was that partnerships and capacities of the actors were instrumental to effective policy design and implementation.

Specifically sustained generation of policy knowledge and effective communication of policy information for evidence-based planning by individual countries has been seen as crucial. The constant flow of policy knowledge is important as a prerequisite for enhancing the ability and capability of country authorities to adopt the best practices and implement the same, thereby ensuring the success of the CAADP Country Process. The strategies for generating and utilizing this type of knowledge were examined in three perspectives, namely: strategies for engaging country policy actors in this direction; strategies for generating the policy knowledge; and strategies for disseminating the policy information. Formulating the strategies of engagement begins with proper identification of policy actors in individual countries, followed by efforts to sensitise and capacitate them for the work. Such actors may include institutions or agencies for conducting evidence-based policy research in the public sector as well as private or non-government organizations involved in rendering knowledge-driven policy research, advocacy and brokering services in the countries. The presence and number of these actors varies among the countries. The quality of their work also shows disparities, illustrating the need for support in terms of education and sensitisation. More important is the need for mechanisms to bring them together in a forum on an equal partner basis.

CAADP country teams are embedded in the ministry structure with civil servants as team leaders but without an adequate arrangement in place for proper coordination and funding. Thus the need arises for effective motivation and mobilization of non-government actors to improve their participation, particularly through funding of forum activities. The need for backup legislation was also considered. However some fears were expressed about the long time it takes to pass laws in the individual countries and non-implementation of the same after their passage. Nonetheless the role of policy legislation cannot be overemphasised as an instrument to stabilise the implementation pathway and to curb the menace of policy instability across the continent.

The major concern about strategies for disseminating evidence-based policy information pertained to the low magnitude of information flow to the agricultural population in the

course of implementing the CAADP. In that regard, the use of Information, Education and Communication (IEC) materials was recognised as the appropriate instrument for the focused analysis of policy actions of policy authorities in the Country Process. This is not only required for the constant generation of policy ideas as implementation proceeds but also for the regular interrogation of policy issues inherent therein, along with wide transmission of policy knowledge and dissemination of policy information to the agricultural development community at local, national, regional and continental levels.

The way forward was charted against a number of needs. First is the need to establish policy innovation platforms in countries. This will serve to bring the stakeholders together for interaction and joint action, thereby creating a sense of ownership and belonging among the policy actors while also drawing inputs from members into the policy discussion occasioned by the CAADP implementation, and leading to continuous generation of policy knowledge and policy information dissemination as desired. In the final analysis, the successful engagement of policy actors would depend to a large extent on ownership of the process by member countries and the role of FARA in effectively coordinating the plethora of actors.

Further, the practical suggestions made include the need to domesticate the principles of AFAPP and SAKS in relation to SAKS/ReSAKKS. This raises the question of who will do the strong policy analysis required and whether the capacity for doing this is available in countries, to identify the strengths of member countries in this regard as well as ideate on how to challenge countries to make efforts to fill the gaps. These concerns reflect the presence of several challenges faced in implementing the policy process within the CAADP Country Process. Nonetheless it was observed that challenges such as these were not unusual at the early stages of a process, so countries were urged to sustain the momentum and keep faith. Further, it was assumed that the collective strength of the regional bodies such as CCADESA, ASARECA, etc., which represent the building blocks of FARA, was huge enough to effect the desired changes.

Finally, the need for a suitable strategy of communication between members was considered paramount. Effective communication will promote country efforts through continuous publication of policy knowledge and information materials. In relation to this the need was recognised to create an interactive platform for policy stakeholders to resolve differences in their knowledge and to share implementation experiences between countries with varying success stories, thereby creating an overarching body to harmonise or coordinate the policy processes within CAADP as well as to maximise the role of other institutions with comparative advantage (e.g. IFPRI/ReSAKKS) and ascertain the increasing awareness of AFAPP/PAKS.

# Introduction



## Background and justification

Though agriculture is the most vital sector for food security, employment opportunities and poverty alleviation in Africa, in the policy arena it continues to face several constraints which include, *inter alia* – inappropriate policy and institutional environment; inadequate policy capacity to formulate and implement workable policy; limited awareness of policy analyses and results that support evidence-based policy formulation and implementation; inadequate production, dissemination and utilization of the findings of agricultural policy analysis and research; shortage of public and private sector investments in agriculture due to uninformed decision making; inappropriate science and technology policy system to promote agricultural productivity and competitiveness; sub-optimal use of input and output markets due to poorly informed policy applications; and farmer's limited access to regional markets due to insufficient regional agricultural policy frameworks.

In response to these deficiencies in Africa's agricultural development policy landscape, the CAADP was adopted by African Heads of State and Government in July 2003 in Maputo, Mozambique. It provides an agenda for achieving a 6% agricultural productivity growth rate by committing 10% of their countries' annual budgets to agriculture. It also presents a framework with a set of key principles and targets to *'guide country and regional strategies and investment programs; stimulate and support policy dialogue;... and facilitate greater alignment*

*and harmonization of efforts of development partners, international and local institutions, knowledge centers and think-tank institutions.*<sup>1</sup> The framework identifies four mutually reinforcing pillars<sup>2</sup> meant to drive the agricultural sector towards high productivity targets.

Nearly a decade after the implementation of the CAADP Agenda, the agricultural development policy actors, especially the policymakers, are yet to maximise the Framework for food security and improved livelihoods. This largely explains the food challenges that Africa still faces today – rising food prices, post-harvest losses, food shortages and malnutrition. These challenges are conditioned, to a significant extent, by specific elements within Africa’s food and agricultural development policy processes. Indeed, inadequate understanding of the policy process within sub-regional and continental agricultural development frameworks or lack of effective enforcement of regional policies is a major cause of widespread hunger in most African countries. Thus, a thorough understanding of the policy processes components of CAADP will assist the policymakers to adequately tackling the food crisis in their respective countries.

Further, there are significant differences in the understanding of the policy processes component of the CAADP Agenda, and a wide divergence of experience among the policymakers in different Ministries of Agriculture in Africa. However, there are a number of broad CAADP policy processes and principles that can be used to ensure that national Agriculture and Food Security Investment Plans (AFSIPs) are well developed and implemented in a timely fashion. These processes will also ensure that the Plans are effectively integrated into sub-regional and continental agricultural transformational frameworks.

In collaboration with the Centre for International Food and Agricultural Policy (CIFAP) of the University of Minnesota, USA, and the African Union Commission (AUC), Policy Analysis and Knowledge Support (PAKS) Programme, the Forum for Agricultural Research in Africa (FARA) established the African Food and Agricultural Policy Platform (AFAPP) in order to respond to the policy structures and processes embedded in the CAADP Framework. AFAPP aims to utilise evidence-informed policy support for increased food productivity and agricultural transformation in Africa. In collaboration with the AUC-PAKS programme, it seeks to deliver Policy Knowledge, Information and Skills (PKIS) to the agricultural development policy processes within the CAADP Framework.

Against this background, a workshop was organised which focused on the theme: Policy and Policy Making Processes in CAADP Country Process. It took place between 27–28 March, 2013 at the African Union Commission Headquarters in Addis Ababa, Ethiopia, on the margins of the ninth CAADP Partnership Platform Meeting, which was held on 25–26 March, 2013. The goal of the workshop was to examine the CAADP country policy processes and identify innovative approaches for making agricultural development policy processes an integral part of the AFSIPs in development. The workshop was organized by FARA in collaboration with the AUC, NEPAD Planning and Coordinating Agency (NPCA), the Association for Strengthening Agricultural

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1. AU-NEPAD, *Accelerating CAADP Country Implementation: A Guide for Implementors*. November 2009.

2. The pillars address issues of sustainable land and water management (Pillar I); rural infrastructure and trade-related market access (Pillar II); hunger, food and nutrition security (Pillar III); and agricultural research, technology dissemination and adoption (Pillar IV).

Research in Eastern and Central Africa (ASARECA), the Conseil Ouest et Centre Africain pour la Recherche et le Développement Agricoles / West and Central African Council for Agricultural Research and Development (CORAF/WECARD), COMESA and ECOWAS.

The workshop brought together high-level policymakers from the Ministries of Agriculture and other food-related Ministries in Africa. The participants also include officials responsible for rendering technical services in the vital areas from agricultural policy development through to evaluation, as well as CAADP Country Team Leaders, to discuss the alternative ways of promoting evidence-informed policy development processes within the CAADP framework. The output of the workshop was directed at African Governments, farmers' organizations, agribusinesses, private sector, and civil society groups as targeted beneficiaries.

The approach of the workshop consisted of a combination of power point presentations and guided discussions in plenary sessions, moderated by a facilitator to properly capture the outcomes and to develop the key messages and recommendations therefrom. Thus, the first day of the workshop was more introductory and informative to bring all participants to a common denominator while the second day was dedicated to structured, more interactive discussions which were conducted via a panel of the whole house. This provided room for discussion and generating ideas and recommendations around the workshop objectives in a productive manner.

The opening session featured a welcome address by Dr Emmanuel Tambi, FARA's Director of Advocacy and Policy Unit, as well as other remarks by the CCARDESA Executive Director Tim, Professor Simanlenga, the AUC's Head of Agriculture and Food Security, Dr. Yemi Akinbamijo, and the representative of CORAF/WECARD, Dr. George Muluh. The Executive Director of FARA, Professor Monty Jones, was represented by Dr Emmanuel Tambi, who gave the opening remarks. Professor Jones expressed his sincerest apologies for his absence at the AFAPP-PAKS Workshop, as well as the ninth CAADP Partnership Platform (PP), indicating the role of FARA as the apex organization which brings together major stakeholders in ARD. FARA is also the technical arm of the AUC on rural economy and agricultural development, collaborating with the SROs – NASRO, ASARECA, CCARDESA, and CORAF/WECARD in strengthening capacities for agricultural innovation, as well as creating broad-based improvements in agricultural productivity, competitiveness and markets.

## Workshop objectives and expected outputs

The general objective of the workshop was to provide a platform for policymakers in the Ministries of Agriculture and other agriculture-related Ministries, with a view to identifying strategies for maximizing the policy process component in the CAADP Country Process. The specific objectives were to:

- Gain a better understanding of the CAADP process and the contribution of ARD to the process.

- Gain a better understanding of policy, policy processes and how these relate to the CAADP process.
- Identify issues of strategic importance in mainstreaming evidence-informed policy issues into CAADP policy reform and processes, as well as organizational and institutional structures and processes.
- Discuss ways in which information-based research can best be utilised in the policy-making component of CAADP.
- Identify strategies for supporting policy knowledge and information generation for evidence-based planning within the CAADP Framework.
- Sensitise policy makers on the policy development processes with regard to the implementation of CAADP at the country and regional levels.

In this regard, the expected outcomes of the workshop include the following:

- An enhanced awareness and better understanding of the issues relating to effective policy making processes within the CAADP Framework.
- Identification of strategies for integrating evidence-based policy research in the CAADP Country Process for increased agricultural productivity.
- Awareness and commitment on country support to evidence-based agricultural policy making processes in order to promote implementation of CAADP.

Accordingly, the report is structured in line with the thematic framework by first describing the CAADP Country Process and the Framework for policy support through the stakeholders. This was followed by knowledge sharing among the countries and lastly by a highlighting of strategies used for supporting the policy knowledge and information generation for evidence-based planning within the CAADP Country Process.

## The CAADP Country Process



The origin of the CAADP Country Process is the Maputo Declaration. Here it was outlined as a sequence of practical steps required to implement the compact. As highlighted by Maurice Lorka, the CAADP Country Process was designed to meet MDG 1, which requires the meeting of a set of pessimistic and optimistic values of critical variables for African countries: agricultural growth rate (8.5%, 7.5%); expenditure growth rate (23.5%, 20.7%) and absolute annual expenditures (\$39 billion, \$33 billion). CAADP was adopted to fulfill this objective by the Africa Heads of State at Maputo AU Summit in July 2003, with a commitment by members to a minimum of 10% allocation to agriculture in the annual budget against the need for a 6% annual growth of the sector.

Thus a ten-stage process evolved for African countries to implement the CAADP compact, the steps being as follows:

- a. CAADP Launch – for high level endorsement by governments and Regional Economic Commissions (RECs).
- b. Stock-taking process – analysis and consultations.
- c. Growth options to prioritise investments – analysis and country briefs.
- d. Compact signing and Round-table.
- e. Elaboration of national agricultural Investment Plans (IP).
- f. Independent Technical Review (NPCA).



- g. Business meetings to reach an agreement on financing.
- h. Creating an operational design of the NAIP for implementation.
- i. Implementation of the NAIP.
- j. Bi-/annual Sector Review, following the peer review mechanism.

The Country Process is participative and based on evidence. The NAIP occupies the centre-stage of the process, whose funding was anchored on public and private resources coming from domestic and external sources. So far, the implementation of CAADP indicates that at the national level 30 member states have signed the Compact while 27 member states have developed the NAIPs, which were reviewed by a panel of experts appointed by AUC and NPCA. At the regional level, only ECOWAS is implementing the Compact and RAIP among the other RECs. Of these, the IGAD regional compact is the most advanced in comparison to the others, including the ECCAS and the tripartite compacts by COMESA, SADC and EAC.

The country implementation process was geared towards improving quality and effectiveness of agricultural sector programmes, with a view to integrating principles and values of CAADP into national agricultural development systems and to stimulating, guiding and facilitating national planning for agricultural development. In this connection, Pillar IV (Agricultural Research, Technology Dissemination and Adoption), as the main programme component for driving technological and other agricultural innovations, represents the policy backbone of CAADP Country Process and constitutes an integral part of agricultural development systems of individual countries already. Specifically, ARTDA (Pillar IV) contributes to the 6% growth through increased agricultural productivity, competitiveness, markets and policy.

In contributing to the envisaged 6% growth rate set for CAADP countries, Africa's agricultural research agenda (Pillar IV) features four main themes, namely, integrated natural resource management, development of sustainable market chains, adaptive management of appropriate germplasm and policies for sustainable agriculture. In practical terms, this agenda involves designing technologies, policies and institutional options for reduced poverty and food insecurity, testing the adoptability of these options in participative and iterative ways, developing appropriate mechanisms for wide-scale dissemination and adoption and empowering farmers to manage natural resources and systems sustainably. In this context FARA acts as apex organization for coordinating and facilitating ARTDA in Africa, and provides technical support in ARTDA to AUC and AU-NPCA. Thus Pillar IV forms an integral part of the country's agricultural development system and contributes to CAADP country implementation process in terms of improved quality and effectiveness of agriculture sector programmes, through the integration of principles and values of CAADP into national agricultural development systems and through the stimulation and facilitation of national planning for agricultural development.

Furthermore the Framework for African Agricultural Productivity (FAAP) underpins support to CAADP in three areas: i) reforming and strengthening agriculture institutions to enhance effectiveness and efficiency (empower farmers, strengthen support services); ii) increase scale and quality of investments in agricultural productivity and iii) improved implementation

efficiency, more financially sustainable NARS, and improved accountability. This reflects the contribution of Pillar IV to the CAADP Country Process, as highlighted below:

- Institutional reforms to support CAADP (SRO/NARS reforms – ASARECA and CORAF; establishment of new SROs - CCARDESA and NASRO; strengthening of capacities of education and extension institutions - AFAAS, ANAFE and RUFORUM; pan-African farmer’s organization – PAFFO; creation of pan-African agribusiness platform – PanACC).
- Integration of FAAP principles in CAADP investment plans (Pillar IV pool of experts ; technical reviews of country IPs; FAAP principles in IPs).
- Mobilization of Pillar IV support to CAADP process (integration of advisory services, education and training in Pillar IV; alignment of advisory services, education and training with FAAP principles; strengthened collaboration among Pillar IV institutions, CAADP institutions and development partners).
- AR&D strategy aims to support implementation of CAADP (CAADP Pillar IV Strategy and Operational Plan; AFAAS Strategy; capacity strengthening action and investment plan for CAADP Pillar IV; tertiary education for agriculture strategy).
- Mainstreaming policy issues in CAADP process (regional ministerial and parliamentary policy dialogue series; policy briefs series; policy framework and strategy documents; policies and strategies to harness modern biotechnology).
- Enhanced access to agricultural innovations (eRAILS and AfricaAdapt platforms for increased access to agriculture innovations; 43 active country portals with 2500 account holders; national platforms to support knowledge-based economy within CAADP; youth involvement in agriculture (established YPARD-Africa); innovation platforms for scaling up IAR4D within CAADP).

Thus the CAADP Country Process is essentially policy-driven, whereby policy authorities and other actors are required to take decisions at different stages of the policy cycle to meet the set goals of the programme. The next section serves to illuminate the policy process in terms of the various actors and the decisions they make from stage to stage as implementation of CAADP progresses.

## Policy, policy processes and the CAADP Country Process



The presentation by Dr. Tambi set the tone for this session in terms of conceptual clarifications on policy and policy process. The different notions of policy presented by Tambi were:

- a. Plan or course of action intended to influence and determine decisions and actions, e.g. Ethiopian Agricultural Policy.
- b. Declared objectives that a government or other entity seeks to achieve and preserve in the interest of community.
- c. Formal contract containing terms and conditions (e.g. insurance policy).
- d. Set of basic principles and associated guidelines formulated and enforced by governing body, e.g. corporate policy.

These significantly accord with other notions of policy as follows<sup>3</sup>:

- a. A set of principles and strategies which guides a course of action for the achievement of a given goal.

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3. Reference is made here to a previous workshop: CTA 2002 (G. B. Ayoola, ed.) *Agricultural Policy Networking – The Way Forward. Proceedings of a CTA workshop, Entebbe Uganda 6-10 November 2000*; also CTA 2002 (G. B. Ayoola ed.) *Agricultural Policy Networking – The Way Forward: Summary Report and Recommendations of a CTA workshop at Entebbe Uganda 6-10 November 2000*.

- b. A targeted course(s) of action based on currently accepted social values and followed to deal with a problem or matter of concern.
- c. A means of predicting the state of affairs which would prevail when the purpose has been achieved.
- d. An instrument developed to influence or shape behavior as the result of an identified need(s).
- e. A statement of intent to achieve a desired outcome.
- f. A prescription of what needs to be done for a particular purpose or goal.
- g. Decision which may not have been written down or formally declared.

Both sets of notions viewed policy in the contemporary sense of a process, rather than the traditional sense of policy as an event, in which case policymaking involves decision making by a motley of stakeholders in a continuum, and not a series of events performed at different stages in cycle. The process approach is superior to the cyclical approach, as it focuses more on the role of policy actors and stakeholders rather than the activities per se<sup>4</sup>. Thus CAADP implementation weighs more on the policy as a process which permits an examination of what a government ministry or REC hopes to achieve and the methods and principles it will use to achieve them, thereby setting out the goals and planned actions of governments in compliance with the Maputo declaration. Furthermore, it is recognised that the performance of these roles may sometimes require legislation to back up policy statements with appropriate institutional and legal frameworks.

The main elements of policy process within the CAADP Country Process were identified as stated below.

- a. Issues/problems analysis – the CAADP issues/problems include poverty, food insecurity, low productivity, infrastructure, market access (input/output), safety and quality standards, technology/innovation, resource access and use and environment.
- b. Goal and objectives (vision or direction on specific issues) – the CAADP goals/objectives are: reducing poverty and increasing food security, 6% productivity growth, 10% budget allocation, dynamic agricultural markets, equitable wealth distribution, becoming a strategic player in science and technology, creating a safe and sustainable environment.
- c. Actors or stakeholders – government (executive, legislators, civil servants), non-state actors, special interest groups. In the latter case the CAADP actors include: presidents/prime ministers, ministers of agriculture, finance, land, trade, permanent secretaries/directors, parliamentarians, private sector, CSOs, FOs, farmers' NGOs and CAADP Country Teams.
- d. Means and measures (strategies) – human, technical and financial resources, infrastructure, institutions and evidence generation. In this case, the CAADP means include: CAADP implementation team, regional and country implementation teams, CAADP resource

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4. For more exposition on policy process see Ayoola (2001). *Essays on Agricultural Economy – A Book of Readings on Agricultural Development Policy and Administration*. Ibadan: TM Publishers.

groups, compacts, investment plans, country budgets, donor funding, private sector funding, knowledge support institutions, donors and development partners, APRM.

- e. Outcomes and impact – income and wealth creation, enhanced wellbeing, enhanced capacity, regional and global engagement, enhanced partnerships for mutual benefits. In this case, the CAADP outcomes and impact pertain to: creating an enabling policy environment, building institutional environment and capacity for effective and efficient implementation, better evidence-based investment plans, enhanced knowledge, information and skills, partnerships and alliances, high level engagement with stakeholders, empowering farmers and increased use of technology and innovation.
- f. Policy process – identifying the issues, analysing and understanding the issues (evidence-based analysis), engaging policy actors/stakeholders, debating/dialoguing, policy formulation, policy implementation. The CAADP processes involve: stock-taking, modeling priority growth options, conducting roundtables and the CAADP launch, compact signing, IP formulation, IP reviews, mobilising partnerships, pushing for commitments, mobilising resources, advocacy, aligning investment financing, programme development and implementation.

## Support framework for the CAADP Country Process

Policy and institutional support to CAADP Country Process was first examined at regional and continental levels, followed by the highlight of stakeholders and roles they performed. The key networks for providing continental support and the reference institutions include: PAKS/AU, AFAPP/FARA, SAKKS/IFPRI. Those providing regional support include ECCAS, ReSAKKS and CCARDESA.

The IFPRI's support at regional level was highlighted in the presentation by Dr. Tedesse with particular reference to ReSAKKS, whereby the organization was responsible for coordinating ReSAKKS and providing technical support to the CAADP Country Process. In that regard, an initiative from AUC has an objective to refine the CAADP targets and actions for enhancing re-commitment by member countries following the tenth anniversary of CAADP. Thus three analyses would be performed, namely, Public Agricultural Expenditure (what constitutes PAE or can be accounted for as PAE? How effective is the public money in bringing about the desired changes? And which function or sub-sector should receive public funding for better impact?). Developing new CAADP targets (should all countries have similar targets? If not, what are the most realistic targets?). Thematic analysis (which thematic areas are impacting the agricultural sector better than the others? How do emerging issues such as climate change, and global food price volatility affect the pace of agricultural growth?) and how the thematic areas should be institutionalised.

The CCARDESA's support at regional level was highlighted by Professor Tim Simanlenga, who laid out the following terms: coordination of regional and cross-country linkages (standard methodology, tools and monitoring), providing review mechanism and sharing protocols of research activities and results and providing a platform for networking and engaging with

strategic partners (within the region and internationally). The CAADP Status in SADC indicates that as of January 2013 twelve countries in the SADC region have formally engaged in the CAADP process while some countries are in the initial stages, namely, Angola, Botswana, Madagascar, Mauritius and South Africa. Seven countries have signed their compacts (DRC, Malawi, Swaziland, Seychelles, Mozambique, Tanzania and Zambia) while two countries have reviewed their investment plans (Malawi and Tanzania).

The presentation by George Muluh highlights the role of CORAF/WECARD in providing support at the sub-regional level with particular reference to Pillar IV. This took place at four levels:

- a. The harmonisation and coordination of financial support – **Coordination:** Donor support is based on development strategies, systems, and procedures of countries/partner SROs; **Harmonisation:** Donors organize their activities to optimise their collective efficiency; Investments are deployed to finance jointly agreed coherent productivity programmes rather than fragmented projects not necessarily aligned to country priorities.
- b. Increasing scale and quality of investments - Domestic public investment; diverse domestic private sector investment; external investment .
- c. Integrating the FAAP - Pillar IV Pool of experts; technical reviews of country Investment Plans (PNIA) West Africa – countries more advanced – Togo, Niger and Sierra Leone; CAADP and GAFSP progress.
- d. Integration of knowledge systems and services: agricultural advisory, education and training (develop country specific tools for knowledge management and sharing); Alignment of these services with FAAP principles; strengthening collaboration between Pillar IV and other CAADP and development partner institutions (Regional Initiative and Strategy to re-launch Rice Production in West Africa).
- e. Developing agricultural research and development strategic plans - CAADP Pillar IV Strategic and Operational Plans; AFAAS strategy; CAADP Pillar IV capacity strengthening action and investment plans; Tertiary Education for Agriculture Strategy.

CORAF/WECARD provided support to the compact and post-compact process in terms of the following:

- a. Support to country planning teams in organizing the CAADP roundtables and facilitation of the formulation of their Investments Plans.
- b. Sharing of experiences, particularly in relation to the recommendations of the FAAP and their inclusion in designing policies and agricultural investment programmes.
- c. Elaboration of an African Science agenda for agriculture and integration and harmonisation of the agendas of the CGIAR and the CAADP.
- d. Ensuring a wide stakeholder participation in research and extension in the development of the NAIPs.
- e. Support inclusion of a specific component research /extension /training in the NAIPs.
- f. It allows a better technical and financial monitoring and the allocation of additional resources for institutional support (infrastructure, human resources).

- g. Compliance of the Investment Programmes to the principles of the FAAP.
- h. Alignment with the principles of the FAAP as a requirement of good governance of research and agricultural extension.
- i. Review of the country CAADP post-compact, which indicates that important extension efforts remain to be made.
- j. Filling in the research gaps in important domains of agricultural research; extension and training and other shortcomings of the NAIP of certain countries - Côte d'Ivoire, Togo, Burkina Faso, Sénégal, Mali.
- k. Individual Country Actions were developed to fill the gaps identified - elaboration of the NAIP of Mali, Niger, Sénégal and Togo; review the NAIPs of Ghana, Sierra Leone, Libéria, Guinée and Burkina Faso.

Meanwhile, all 15 countries of the ECOWAS zone have endorsed a common vision and thus signed their compact and elaborated upon CIP. The processes are on-going in central Africa. However, increased support in the development and implementation of regional IP is needed, including technical backstopping to country teams and facilitation of the deployment of experts to support CIP implementation and the on-going Pillar IV awareness and buy-in through workshops/seminars. Though the M&E framework was already operationalised, there is a need for monitoring, implementation and periodic impact assessment exercises including annual reviews. Also there is a necessity for synergy creation between the kinds of support provided by Pillar lead Institutions.

Besides regional support, Dr. Ndoya's presentation highlighted some important aspects benefiting the different countries as shown in Table 1.0.

The continental level support to CAADP Country Process comes from a number of institutional sources, which include mainly PAKS/AUC, AFAPP/FARA and SAKKS/IFPRI. The presentation by Dr. Akinbamijo highlighted the support offered by AUC, with particular reference to PAKS. The presentation came out of discussion that took place at the fourth CAADP Partnership Platform (PP) in March 2009 in Pretoria. Subsequently the African Union Commission (AUC) led exploratory consultations with different parties, including the NEPAD Planning and Coordination Agency (NPCA), the Forum for Agricultural Research in Africa (FARA), the International Food Policy Research Institute (IFPRI) and the Alliance for Green Revolution in Africa (AGRA). The issues discussed pertained to policy analysis and knowledge systems in Africa in support of agricultural sector review and dialogue. This required a process of transitioning to Regional Policy Analysis and Knowledge Systems (PAKS) Platforms, and the establishment of Country Strategy Analysis and Knowledge Support System nodes.

The presentation by Dr. Odularu highlighted the continental support by FARA with particular reference to AFAAP. Africa's food and agricultural landscape was characterised by a diversity of economic policy research institutions, unresolved demand-supply issues and an ineffectual interface between economic policy research and policies in practice. The policy research institutions showed remarkable diversity in a number of areas: number, age, size, stages of

Table 1.0: CAADP Progress Recorded in ECCAS Member States

ETAT D'AVANCEMENT DU PDDAA DANS ETA TS MEMBRES											
Etats membres et Région	Angola	Burundi	Cameroun	Congo Brazzaville	Gabon	Guinée Equatoriale	Sao Tomé & Principe	RDC	RCA	Tchad	Région
Phase Pré_pacte											
Lettre d'engagement du Gouvernement	●	●	●	●	●	●	●	●	●	●	●
Nomination du Point Focal	●	●	●	●	●	●	●	●	●	●	●
Atelier de lancement du PDDAA	●	●	●	●	●	●	●	●	●	●	●
Mise en place de l'equipe pays	●	●	●	●	●	●	●	●	●	●	
Planification de la revue des politiques agricoles, études complémentaires et analyses		●						●	●		
Phase de la table ronde											
Organisation de la table ronde		●						●	●		
Phase post_pacte											
Formulation des programmes d'investissement		●						●	●		
Révue externe des PNIA par l'APCN		●							●		
Business meeting		●									
●	Réalisations au 31 Janvier 2013										



development, coverage (ranging from national and sub-regional to continental), strength and quality of policy research with varying degrees of the emerging culture of evidence-based policy advice. The demand and supply issues pertained to:

- a. Growing demand for policy research with regional and continental perspective spurred by the economic integration of Africa.
- b. Increasing importance of regional policy-making by regional bodies – African Union Commission (AUC); Pan African Parliament (PAP); Pan-African Farmers Forum (PAFFO).
- c. Inadequate supply of high-quality research results that are crucial for policy formulation, decision-making, planning and implementation.
- d. Policy research institutions not adequately equipped to generate and disseminate high-quality policy research results (technical, human and financial resources).
- e. Quality of policy analyses is occasionally below standard (less rigorous economic analyses).
- f. Limited capacity to convert economic policy research results into informed policies and decisions.
- g. Limited capacity of national and sub-regional institutions to respond to continental and global challenges.
- h. Insufficient communication between economic policy research institutions.

Generally the interface between policy research and policies showed that economic policy research results do not effectively feed into policy formulation and decision-making processes. Other debilitating factors include limited transmission, inadequate absorption; and disconnect between policy researchers and policy-makers. Specifically, researchers assumed their research results would be used by policy-makers without a middleman role for providing policy and policy advocacy services or functions, which involves both targeting the policymakers as well as engaging them in dialogue.

This situation has posed a major challenge to FARA from the outset. Under FARA's mandate the Forum is under obligation to make contribution to food and agricultural policy development in five key areas, which are laid out below:

- a. Organizational development and institutional reform processes
- b. Policy reforms and policy review structures
- c. Policy knowledge, analysis and evidence-based planning
- d. Capacity development and alignment/harnessing
- e. Partnerships, coalitions and collective responsibility

Each area is further specified as follows:

- a. Policy and advocacy – advocating for Africa's position on policy issues e.g. increasing scale and quality of investments in the sector, priorities for CGIAR reform and GCARD; advocating for adoption of FAAP principles in CAADP processes; policy analyses and dialogue (e.g. Ministerial, Parliamentary, Regional – African trade, land tenure, climate change; trade, land tenure, climate change); supporting negotiations for Africa's position

in international and global forums e.g. in climate change, SPS issues, biotechnology; supporting international and continental initiatives e.g. CARD, Alive.

- b. Knowledge and innovation – policy knowledge exchange through the Regional Agricultural Information and Learning System (RAILS) and FARA Portal management and technology adoption platforms; integration of policy knowledge management in technology adoption platforms; dissemination of information on best practice policies.
- c. Capacities and institutions – mainstream policy analysis in curricula of agricultural education institutions; integrating policy analysis in strategies of NARS.
- d. Opportunities and investments – integrating policy-makers in IAR4D innovation platforms; *Sub-Saharan Africa Challenge Programme (SSA CP) testing IAR4D*; encouraging the participation of the private sector, civil society actors (farmers, agribusiness & NGOs) in innovation platforms; connecting policy-makers to regional initiatives – *Pan Africa: ABIA, Climate Change, etc.; South-South (Africa-Brazil); Africa UK-China, North-South (PAEPARD)*.

It was against this background that FARA's 'Think-Tank function', arose. This function included 'convening expertise around thematic [policy] areas, foresight and agenda setting'. Thus AFAPP was established to '*enhance effectiveness of policy support to African agriculture through development, dissemination, exchange and use of policy information*'. This entails the following:

- a. Supporting the development of a policy research community in Africa to:
  - i. Produce independent and high-quality agricultural economic research of relevance to public policy.
  - ii. Undertake and manage regional agricultural research projects in order to fill knowledge gaps on key development challenges facing Africa.
  - iii. Translate agricultural economic research knowledge into concrete implementable policies and programmes.
- b. Support evidence-based agricultural policy formulation and decision-making in Africa through:
  - i. Dialogue on key issues of regional importance.
  - ii. Effective exchange of policy information through networking, cross-boundary sharing of experiences, best practices, lessons learnt and approaches.
  - iii. Wide dissemination of policy research outcomes through various channels including conferences, workshops and publications.
  - iv. Increased uptake and use of policy research information.

It was recognised that African policy research institutions currently undertake a wide range of activities, including the generation of economic policy research results. Therefore AFAPP would not duplicate the work that they do, but would support, complement and add value to their work so that it contributes to good food and agricultural policies and decisions in Africa. In this connection, the AFAPP and the vision and strategic direction of FARA in the next five to ten years is shown in Table 2.0.

**Table 2.0: AFAPP vision and strategic direction of FARA in the next 5–10 years**

<b>NSF</b>	<b>Focus</b>	<b>Connect</b>	<b>Catalyze</b>	<b>Communicate</b>
1. Advocacy & Policy (AFAPP)	Sustained investments in Agriculture	Policy institutions, policy-makers with science & devt community	High-quality policy research	Policy options for increased investment
2. Knowledge and innovation	Competitiveness in a knowledge-based economy	Knowledge resources with all innovations actors	Effective innovation processes	Knowledge & innovation to relevant actors
3. Capacities and Institutions	Building Africa's innovation capacity	CS institutions with users and policy makers	CS within CAADP	Required changes and effective approaches
4. Opportunities and investments	Identify priority opportunities & risks for R&D attention	Foresight actors, think tanks with investors	Policy & innovation for emerging issues	Required actions on emerging issues

Karugia and Matchaya highlighted the support to the CAADP Country Process provided at the continental level with particular reference to SAKSS, whose activities span a number of thematic areas including data and statistics, policy research and analysis, consensus building and policy adoption, policy implementation and policy monitoring, evaluation and priority setting. The main elements of these were trade policies, taxes, subsidies; markets and value chains; research, extension and seeds policy; public expenditure and budget policy; soil health and environmental policy; rural finance and insurance policy; water policy; and food security policy. The issues, partners and geographic coverage of ReSAKKS are tabulated in Table 3.0.

Some examples of ReSAKKS activities include the following:

- a. M&E and research - continental level (operation of interactive website and preparation of Annual Trends and Outlook Report (ATOR) – to monitor CAADP targets and other growth, poverty reduction and food security performance indicators). Regional level (M&E through production of regional versions of the ATOR); coordination of national studies plus regional analysis and synthesis of food security and consumption (ECOWAS); support for data collection and analysis for water and irrigation policy (SADC) and analysis of impact of trade policy / common external tariff (COMESA).
- b. Capacity building- country level establishment of Strategic Analysis and Knowledge Support Systems (SAKSS) nodes in Benin, Burkina, DRC, Ethiopia, Ghana, Kenya, Senegal, Mozambique, Rwanda, Tanzania, Togo, Uganda (2013) and Cameroon, Niger, and Zambia (2013).

The research plan focused on different policy areas over time. In 2011, agricultural productivity, 2012, agricultural investments, 2013, agricultural trade, 2014, poverty and safety nets. This entails strengthening existing country SAKSS nodes and establishing new ones. The SAKSS concept is articulated in the CAADP Compact and Brochure 5. It was expected to come into existence following the signing of the CAADP country compact and as part of the implementation of the country's agricultural sector investment plan, with a view to informing and guiding the CAADP implementation process in terms of data, analysis, M&E, etc.

**Table 3.0: ReSAKKS's issues, partners, and geographic coverage**

RESAKSS / SAKSS		
<i>Selected issues, partners, and geographic coverage</i>		
Countries or regions	Partners	Policy issues
Africa-wide	<ul style="list-style-type: none"> <li>African Union Commission</li> <li>NEPAD Planning and Coordination Agency</li> <li>COMESA, ECOWAS, SADC</li> <li>UNECA, CTA, MSU, CG Centers</li> <li>Development Partners</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring CAADP implementation and targets (Annual M&amp;E report – ATOR)</li> <li>Monitoring of growth and poverty reduction performance</li> <li>Capacity building for policy analysis by establishing country SAKSS nodes</li> </ul>
West Africa – ReSAKSS-WA	<ul style="list-style-type: none"> <li>ECOWAS</li> <li>Ministries of agriculture in Benin, Ghana, Senegal, Niger, Burkina Faso, Cote d'Ivoire, Togo, Mali, Cameroon, Nigeria</li> <li>CILSS, Rural Hub, CORAF/WE CARD, MSU</li> <li>National universities and bureaus of statistics</li> <li>ROPPA</li> </ul>	<ul style="list-style-type: none"> <li>Regional CAADP compact / ECOWAP</li> <li>Monitoring NAIP implementation</li> <li>Public expenditure and budget analysis</li> <li>Markets and value chains</li> <li>Food security policy</li> <li>Annual M&amp;E report - ATOR</li> <li>Establishment of six country SAKSS nodes</li> </ul>
Southern Africa – ReSAKSS-SA	<ul style="list-style-type: none"> <li>SADC</li> <li>Ministries of agriculture in Zambia, Malawi, Mozambique, South Africa, Zimbabwe</li> <li>National universities and bureaus of statistics, MSU, SAFIRE, CARDESA</li> </ul>	<ul style="list-style-type: none"> <li>Public expenditure and budget analysis</li> <li>Monitoring NAIP implementation</li> <li>Irrigation/water policy</li> <li>Food security policy</li> <li>Annual M&amp;E report - ATOR</li> <li>Establishment of three country SAKSS nodes</li> </ul>
Eastern and Central Africa – ReSAKSS-ECA	<ul style="list-style-type: none"> <li>COMESA</li> <li>Ministries of agriculture in Kenya, Ethiopia, Uganda, Rwanda, DRC, Tanzania</li> <li>National research institutes, bureaus of statistics and universities, ASARECA, EAFF, EABC, EAC, ACTESA</li> </ul>	<ul style="list-style-type: none"> <li>Markets and trade policy</li> <li>Public expenditure analysis</li> <li>Monitoring NAIP implementation</li> <li>Food security policy</li> <li>Price analysis</li> <li>Annual M&amp;E report - ATOR</li> <li>Establishment of six country SAKSS nodes</li> </ul>

## Policy stakeholders in the CAADP Country Process

The presentation by Obert Mathivha of CAYC highlighted the viewpoint of the independent stakeholder community among the other players in the CAADP policy processes, focusing on women and youth. CAYC is an NGO for producing and nurturing 'Innovative Generation of Young Agricultural entrepreneurs' through entrepreneurship research, training and transfer

of technical skills across agro value chains and targeting the survivalist, micro, small and medium enterprises from households engaged in small-scale farming, cooperatives, aspiring entrepreneurs and agricultural graduates. The challenges faced by women and youth were highlighted, throwing light on their shared negative attitude towards the agricultural sector, which results from or manifests in the following:

- Minimal participation in policy, strategy, programme and implementation, as well as M&E systems.
- Limited access to information regarding opportunities across value chains, i.e., how to start, grow and sustain agricultural enterprise.
- Limited access to technology, markets, and land.
- Limited access to technical skills, experience and capacity building.
- Lack of proper reproductive infrastructure that makes it easy to do business.

The role of research and innovation was recognised as the bedrock of evidence-based policy tools. As such, AFAPP-PAKS was established as a platform where potential partnerships on deepening the CAADP agenda could be realised. CAYC expressed its readiness to explore opportunity spaces targeting youth mainstreaming within CAADP processes with FARA & AUC to enhance the implementation of CAADP Recommendations on Youth & Women.

Another presentation by the Chairman of Non-State Actors (NSA) in the person of Chief Romanus Che, stated that the major responsibility of CAADP NSA was to engage selected NSAs as core members of the CAADP Country Policy Process. It is also saddled with the responsibility of ensuring that the capacities of NSAs at the country levels are well strengthened in order to deliver on their terms of references. CAADP NSAs participate in AUC, NPCA, RECs, SROs and national level CAADP-related workshops. However, the need was recognised to embrace a broad and inclusive approach to CAADP implementation in the next phase of CAADP.

## Country experiences with policy processes within CAADP



The experiences shared by participants at the workshop showed that the countries were not all at the same stages of implementing the policy processes within CAADP. The key aspects of these processes include: a) domestication of CAADP instruments, in terms of policy and legal frameworks required for implementation; b) compliance with CAADP obligations such as the need for preparation of investment plan as well as other budget and non-budget stipulations; and c) policy management in terms of full engagement with institutions and in-country actors during implementation. Based on experiences shared by country representatives, the status of implementation varies widely in these respects. Correspondingly, three categories emerged: countries that have not started at all, having not taken a policy step to sign the compact till date; countries that have commenced the CAADP policy process by signing the compact but which have failed to undertake the policy measures towards the domestication; and, countries that have moved in the direction of domestication but have managed the process well, having not engaged the relevant institutions and other actors effectively during implementation.

The typical mode of implementing the CAADP policy process can be illustrated with the example of Ghana, with a view to sharing experiences garnered and the lessons learned therefrom. In Ghana, the Ministry of Food and Agriculture (MOFA) is the lead government agency responsible for the growth and development of the agriculture sector, which its policies are usually informed by international, regional and national agriculture-related policies and strategies

as well as issues from a review of previous policies and sector performance. The policies are generally followed by the development of an implementation framework (sector plans) to put it in place over a period of time. The processes are carried out in consultation with sector stakeholders along the value chain at all levels. The current sector policy for the agricultural sector is the Food & Agriculture Sector Development policy (FASDEP II), with the corresponding implementation plans. In order to implement the FASDEP in the medium term (2011–2015), Ghana has developed the medium term agriculture sector investment plan (METASIP). Ghana concluded the FASDEP II and was to embark on the preparation of a sector investment plan to implement the FASDEP. As the objectives of the FASDEP II were developed in the context of the thematic areas of the CAADP, Ghana integrated the preparation of the sector plan with the National Agriculture Investment Plan proposed for CAADP implementation.

Thus Ghana acted to integrate the CAADP policy process with the pre-existing country framework which represents a conscious effort to domesticate the compact. The generic policy process followed for FASDEP II development indicates how this was done, as highlighted below:

- a. Agenda Setting /Problem Identification - Informed by international and national goals (MDG'S GPRS II). The process issues raised by a PSIA conducted on the previous policy document include - improper targeting of the poor; weak problem analysis which did not sufficiently reflect client perspectives on their needs and priorities. The process by which (MoFA) was to stimulate response from other MDAs and stakeholders for interventions that fell outside the domain of MoFA was not specified.
- b. Policy Formulation (analysis/ consultations/identification of options) - review of agricultural sector policies – historical review and lessons learnt; development and presentation of the building blocks for the review to guide inputs from thematic groups; formation of thematic groups comprising stakeholders at the national level; preparation of thematic reports based on building blocks; synthesis of thematic reports and development of a zero draft policy; reviews by MoFA, MDAs, DPs, private sector; stakeholder (along the value chain) consultations at the decentralised level; field validation visits on specific issues to confirm national perspectives; development of first draft incorporating six policy objectives; first draft circulated to stakeholders and regional consultations (all ten regions); separate consultations with some MDAs, the banks and the parliamentary select committee on agriculture; preparation of final draft.
- c. Policy adoption – validation – national stakeholders' workshop with participation from all levels; submission to cabinet and cabinet approval.
- d. Policy implementation – building on the broad strategies in the FASDEP II and applying the CAADP framework. MOFA facilitated the preparation of a Medium Term Agriculture Sector Investment Plan (METASIP) to implement FASDEP II over the period 2011–2015.

The generic process followed to integrate the CAADP policy process with METASIP for the 2007–2012 period was as follows:

- a. Identification of a technical team – establishment of a technical committee (MOFA & relevant MDA's) to prepare the plan.

- b. Technical analysis – stock-taking/review of agriculture programmes and strategies; analysis of investment alternatives for their impact on growth and poverty reduction conducted by consultants and IFP; analysis of commodity value chain was also done to determine priority intervention areas for priority commodities for each of the ten political regions of Ghana.
- c. Consultations - validation was done at national and regional levels for inputs, consensus and ownership; round table meeting for consensus building and signing of the compact by stakeholders to indicate their commitment to implementation.
- d. Technical review and revision - This was organized as one event by ECOWAS for countries in the sub-region who had completed their plans and signed the compacts; the plan was revised according to technical comments and standard format with the assistance of FAO.
- e. Implementation arrangements –
  - i. Inauguration of a 13 member multi-stakeholder Steering Committee (country team) to see to the effective implementation of the METASIP. The team comprised of representatives from FBO, CSO, financial institutions, private sector and parliamentary select committee on agriculture, research, academia, traditional rulers and development partners, National planning commission, ministries of finance and agriculture.
  - ii. Technical support - the operations of steering committee/country team are supported by a Strategic Analysis and Knowledge Support System (SAKSS); the policy planning monitoring and evaluation directorate and the statistics directorate serve as the secretariat. The SAKSS drew membership from policy, knowledge, civil society and the private sector. ReSAKSS is conducting a needs assessment of the SAKSS. Platforms such as the annual Joint Sector Reviews; monthly agriculture sector working group meetings; Agriculture Public Private Dialogue Platform; and the regular meetings of the steering committee/ country team, provide opportunities for dialogue, review and coordination during implementation; the country team has met 16 times since its inauguration in February 2011. The meetings were more frequent at the initial stages, but are now quarterly; there are some intra stakeholder platforms for review and planning within stakeholder groups; a public expenditure review was recently conducted to review resource allocation. This is expected to happen annually.
  - iii. M&E and Impact Assessment - M&E, performance analysis, adaptation, feedback and learning are ongoing; a mid - term review of the METASIP is ongoing to assess progress with regard to achievement of targets and reprioritisation if any.

The major challenges faced in the METASIP / CAADP development process and the emerging issues include the following:

- a. Capacity of actors (state and non-state) in the sector, for effective participation in the development and implementation of policies. For instance, capacity in policy analysis and impact studies, capacity of farmers or non state actors to influence policy, etc.
- b. Information generation, processing and analysis on a timely basis to serve as evidence for decision making in planning and implementation is limited.



- c. The operations of the SAKSS are expected to improve the quality of design and implementation of policies and strategies. There is a need to fund the statistics department for data collection - widening of scope of data collection for effective analysis along the value chain.
- d. Institutional/organizational challenges:
  - Weak platforms or non-existence of platforms to ensure consultations and dialogue sessions for joint planning, review and information sharing during implementation is a key challenge. Platforms for engagement are required for both inter and intra stakeholder groups and also at all levels.
  - Linking together all actors to make a policy decision system to identify policy challenges and options.
  - The process requires an institutional mechanism and organizational structures to share generated knowledge.
- e. Communication strategy- having platforms for dialogue is not enough, there is a need for a comprehensive sector communication strategy for information flow and feedback between all stakeholders (state and non state) at all levels.
- f. Coordination- securing commitment and momentum beyond MoFA is critical for effective policy design and implementation. Stakeholders in the sector go beyond MoFA. There needs to be a conscious effort to bring them on board.
  - To ensure that, the other agriculture-related public agencies take up their role in the implementation of the plan, MoFA, in collaboration with National Development Planning Commission (NDPC), has started an exercise with agriculture-related MDAs towards joint planning and setting priorities.
  - To complement the above process, discussions are also ongoing with Ministry of Finance to ensure that they ring fence funds to MDA's to implement the priorities from the planning sessions.
  - The country team is preparing to engage with the new parliamentary select committee on agriculture to establish familiarity, agree on roles and responsibilities and establish an MOU for engagement.

The key lesson learnt in the case of Ghana was that partnerships and capacities (for all actors) are important for effective policy design and implementation. The effectiveness is also greatly increased when the ministry of agriculture identifies all stakeholders and acknowledges them to be equals in the partnership.

## Strategies for supporting policy knowledge and information



The CAADP Country Process depends on Pillar IV for constant generation of policy knowledge and effective communication of policy information for evidence-based planning by individual countries. The constant flow of policy knowledge is crucial to enhancing the ability and capability of country authorities to adopt the best practices and implement the same, thereby ensuring the success of CAADP Country Process. The strategies for generating and utilising this type of knowledge were examined using three perspectives, namely: strategies for engaging Country Policy actors in this direction, strategies for generating the policy knowledge and strategies for disseminating the policy information. To begin charting the path for the implementation of Pillar IV within the CAADP Country Process, the strategies should focus on the current mechanisms by supporting country initiatives and also addressing the challenges faced with a view to resolving the issues emerging therefrom.

### Current support mechanisms

Formulating the strategies of engagement begins with proper identification of policy actors in individual countries to be followed by practical efforts to sensitise and capacitate them for the work. Such actors may include institutions or agencies for conducting evidence-based policy research in the public sector as well as private or non-government organizations

involved in rendering knowledge-driven policy research, advocacy and brokering services in the countries. The presence and number of these actors varies among the countries while the quality of work they do also show disparities, so they require support in terms of education and sensitization to be able to do a good job. More important is the need for mechanisms to bring them together in a forum on an equal partner basis. Such a forum presently exists in Nigeria as an initiative of an NGO - Farm and Infrastructure Foundation (FIF), which established a Policy Innovation Platform (PIP) or more specifically a Food Policy Innovation Platform (FPIP), for constant interaction and dialogue on key policy issues affecting the agricultural sector. Membership of this platform was drawn from a wide range of actors, including policy decision makers in agriculture ministries at federal and state levels, public institutions and agencies in service delivery and market regulations, as well as the relevant legislative committees of the national assembly and NGOs such as apex farmers' organizations, commodity associations and agri-input dealers associations among others. On this platform people may participate as members of the *faculty* for specific policy discussions or as members from the *gallery* (for more information visit [www.fifng.org/fpip](http://www.fifng.org/fpip)).

However, CAADP country teams are embedded in the ministry structure, with civil servants as team leaders without an adequate arrangement in place for proper coordination and funding. The need arises for effective motivation and mobilisation of non-government actors to improve their participation, particularly through funding of forum activities. Once the key actors are properly engaged then the generation of policy knowledge becomes an easier task. In this regard, the FPIP-type platform referenced above can be used as an electronic communication platform supplemented by meetings of members to exchange policy ideas and resolve the policy issues as they emerge during implementation of CAADP. This type of platform is required in order to facilitate the CAADP Country Process. The activities of country platforms should be coordinated at national and regional levels for cross-fertilization of policy ideas and sharing of policy knowledge. The need for data verification is important in order to bring the countries to the same page in analysis and interpretation, as well as for capacity building for knowledge upgradation in terms of data capture and management. Also the policy process should be knowledge driven with the capacity to conduct strategic analysis of policy issues and the role of actors along the commodity value chains.

There is no gainsaying the fact that proper articulation of NAIP is crucial to the successful implementation of Pillar IV within the CAADP Country Process. The knowledge for policy articulation resides more in the role of technical experts, particularly agricultural economists with subject matter bias or inclinations towards policy analysis, acting in unison with public and private actors in the policy process. Yet serious articulation is usually skipped as an important step and a best practice in the policy process by ministers of agriculture who soon after assuming office often become overly eager to execute first and plan later or not plan at all. The truth is, while planning is usually conceived within the medium to long term context (and this is consistent with the nature of most agricultural development activities), execution by ministers is usually conceived within the short to medium term framework. Thus many ministers are out there in countries that are too impatient to undertake serious planning before embarking on

execution based on a sterile argument or lame excuse that ‘policymaking is not the problem but policy implementation is the problem’. To address this situation, participants suggested that a manual should be produced to guide the various actors in their role in generating policy knowledge, including through proper articulation of policies. In this regard, the need for some means of enforcement, making countries comply with guidelines, was recognised. This could be achieved through legislation.

However, some fears were expressed about passing laws which takes a long time and which may not be implemented afterwards. Nonetheless the role of policy legislation cannot be overemphasised in stabilising the implementation pathway and in curbing the menace of policy instability across the continent. The case of the USA was cited whereby a farm bill is passed into law every six years that contain mandatory elements which the subsisting secretary of agriculture cannot change and discretionary elements that can be changed in particular ways. This assures policy stability from one regime to another, thereby engendering programme accountability and responsibility during implementation.

Finally, the strategies for disseminating evidence-based policy information were discussed, the major concerns being the low magnitude of information flow to the agricultural population. In this regard the absence of print materials was decried, such as specialised and professional magazines focusing on the sector as well as policy briefs for disseminating the policy knowledge available and information emerging therefrom. An example of this is the *Nigeria Agriculture Digest* magazine published in Nigeria, which seeks to create an enabling policy environment for agriculture and rural development and can be replicated in other countries. The question is, who takes the initiative for this type of publication in individual countries, what incentivises them and how can the activities in different countries be harmonised or coordinated for synergy at national and sub-regional level? This is all, of course, taking into account that AFAPP exists to do this at continental level.

## The path ahead

Against the backdrop of the foregoing discussions, the critical question is: how can we achieve the effective implementation of CAADP Pillar IV? In addressing this question the participants identified the strategic instruments required and the practical steps to deploy them for the purpose. First is the need to establish policy innovation platforms in all the countries. This will serve to bring the stakeholders together for interaction and joint action, thereby creating a sense of ownership and belonging among the policy actors while also drawing inputs from members into the policy discussion occasioned by the CAADP implementation and leading to the continuous generation of policy knowledge and policy information dissemination as desired. In the final analysis, the successful engagement of policy actors would depend to a large extent on ownership of the process by member countries and the role of FARA to effectively coordinate the plethora of actors.

Further, the practical suggestions made include the need to domesticate the principles of AFAPP and PAKS in relation to SAKS/ReSAKKS. This raises the question as to who is there in

the countries to do the strong policy analysis required and whether the capacity for doing this is available in all countries, or where the strengths are in member countries to do the strong policy analysis work involved and how to challenge them to make efforts to fill the gaps. These concerns reflect the presence of several challenges faced in implementing the policy process within the CAADP Country Process. Nonetheless it was observed that challenges such as these were not unusual at the early stages of a process, so countries were urged to sustain the momentum and keep faith. It was also noted that the collective strength of the regional bodies such as CCADESA, ASARECA, etc., which represent the building blocks of FARA, was huge enough to make the desired change happen in the end.

Finally, the need for a suitable strategy of communication between members was considered paramount. Effective communication would promote country efforts through continuous publication of policy knowledge and information materials. In relation to this the need was recognised to create an interactive platform for policy stakeholders to resolve discordances in their knowledge between themselves and to share implementation experiences between countries that are ahead and those that are lagging behind. Such a platform would also create an overarching body to harmonise or coordinate the policy processes within CAADP as well as maximise the role of other institutions with a comparative advantage (e.g. IFPRI/ReSAKKS) and increasing awareness of AFAPP/PAKS.

## Annex 1: Presentations

1. Emmanuel Tambi, Director, Advocacy and Policy, FARA: 'Policy, Policy Processes and CAADP'.
2. Emmanuel Tambi, Director, Advocacy and Policy, FARA Secretariat, Accra Ghana: 'Agricultural Research & Development (Pillar IV) and the CAADP Country Process'.
3. Emmanuel Tambi and Gbadebo Olusegun Odularu: 'FARA's Contribution to Food and Agricultural Policy Development in Africa: The African Food and Agricultural Policy Platform (AFAPP)'.
4. George A. Muluh - Planning Officer, CORAF/WECARD: 'Regional Support to ECOWAP/ CAADP Country Policy Processes'.
5. International Food Policy Research Institute (IFPRI).
6. Joseph Karugia and Greenwell Matchaya: Regional Coordinators, International Food Policy Research Institute (IFPRI), 'ReSAKSS in the CAADP Implementation Process'.
7. Maurice Lorka - CAADP Pillar IV Adviser, African Union Commission. CAADP Country Process.
8. Obert Mathivha, Managing Director – Commercial Agricultural Youth Chamber (CAYC): 'Policy and Policy-making Processes in the CAADP Country Process'.
9. Timothy E. Simalenga, Executive Director, Centre For Coordination Of Agricultural Research And Development for Southern Africa (CCARDESA), Role of CCARDESA in Supporting CAADP Country Processes.

## Annex 2: List of participants for the AFAPP-PAKS Workshop

AUC Conference Centre, Addis Ababa, Ethiopia  
27 – 28 March, 2013

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# Acronyms and abbreviations

AFAAS	African Forum for Agricultural Advisory Services
AFAPP	African Food and Agricultural Policy Platform
AFSIP	African Food Security and Investment Plan
ANAFE	African Network for Agricultural Education
APRM	African Peer Review Mechanism
AR&D	Agricultural Research and Development
ARD	Agricultural Research for Development
ARTDA	Agricultural Research, Technology Dissemination and Adoption
ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa
ATOR	Annual Trends and Outlook Report
AUC	African Union Commission
CAADP	Comprehensive Africa Agriculture Development Programme
CAYC	Commercial Agricultural Youth Chamber
CCARDESA	Centre for Coordination of Agricultural Research and Development for Southern Africa
CIFAP	Centre for International Food and Agricultural Policy
CIP	Country Investment Plans
COMESA	Common Market for Eastern and Southern Africa
CORAF/WECARD	Conseil ouest et centre Africain pour la recherche et le développement agricole / West and Central African Council for Agricultural Research and Development.
DRC	Democratic Republic of Congo
EAC	East African Community
ECCAS	Economic Community of Central African States
ECOWAS	Economic Community of West African States
eRAILS	Electronic – Regional Agricultural Information Learning Systems
FAAP	Framework for African Agricultural Productivity
FARA	Forum for Agricultural Research in Africa
FASDEP	Food and Agriculture Sector Development Policy
FIF	Farm and Infrastructure Foundation
FPIP	Food Policy Innovation Platform
IEC	Information, Education and Communication

IAR4D	Integrated Agricultural Research for Development
IGAD	Inter-Governmental Authority on Development
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
METASIP	Medium Term Agricultural Sector Investment Plan
MOFA	Ministry of Food and Agriculture
NAIP	National Agricultural Investment Plans
NARS	National Agricultural Research Systems
NASRO	North African Sub Regional Organisation
NEPAD	New Partnership for African Development
NPCA	NEPAD Planning and Coordinating Agency
NSA	Non-State Actors
PAFFO	Pan-African Farmers Forum
PAKS	Policy Analysis and Knowledge Systems
PanACC	Pan African Agribusiness and Agro Industry Consortium
PAP	Pan African Parliament
PKIS	Policy, Knowledge, Information and Skills
RAIP	Regional Agricultural Investment Plan
REC	Regional Economic Community
ReSAKKS	Regional Strategic Analysis and Knowledge Support System
RUFORUM	The Regional Universities Forum for Capacity Building in Agriculture
SADC	Southern African Development Community
SRO	Sub-Regional Organization
YPARD	Young Professionals' Platform for Agricultural Research and Development





## About FARA

FARA is the Forum for Agricultural Research in Africa, the apex organization bringing together and forming coalitions of major stakeholders in agricultural research and development in Africa.

FARA is the technical arm of the African Union Commission (AUC) on rural economy and agricultural development and the lead agency of the AU's New Partnership for Africa's Development (NEPAD) to implement the fourth pillar of the Comprehensive African Agricultural Development Programme (CAADP), involving agricultural research, technology dissemination and uptake.

**FARA's vision:** reduced poverty in Africa as a result of sustainable broad-based agricultural growth and improved livelihoods, particularly of smallholder and pastoral enterprises.

**FARA's mission:** creation of broad-based improvements in agricultural productivity, competitiveness and markets by supporting Africa's sub-regional organizations (SROs) in strengthening capacity for agricultural innovation.

**FARA's Value Proposition:** to provide a strategic platform to foster continental and global networking that reinforces the capacities of Africa's national agricultural research systems and sub-regional organizations.

FARA will make this contribution by achieving its *Specific Objective* of sustainable improvements to broad-based agricultural productivity, competitiveness and markets.

Key to this is the delivery of five *Results*, which respond to the priorities expressed by FARA's clients. These are:

1. Establishment of appropriate institutional and organizational arrangements for regional agricultural research and development.
2. Broad-based stakeholders provided access to the knowledge and technology necessary for innovation.
3. Development of strategic decision-making options for policy, institutions and markets.
4. Development of human and institutional capacity for innovation.
5. Support provided for platforms for agricultural innovation.

FARA will deliver these results by supporting the SROs through these Networking Support Functions (NSFs):

NSF1/3. Advocacy and policy

NSF2. Access to knowledge and technologies

NSF4. Capacity strengthening

NSF5. Partnerships and strategic alliances

FARA's donors are the African Development Bank (AfDB), the Canadian International Development Agency (CIDA), the Centre de Coopération Internationale en Recherche Agronomique pour le Développement (CIRAD), the Danish International Development Agency (DANIDA), the Department for International Development (DFID), the European Commission (EC), the International Development Research Centre (IDRC), the Syngenta Foundation, the United States Department of Agriculture (USDA), the World Bank and the Governments of Italy and the Netherlands.



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