



**AFRICAN UNION:
BUSINESS PLAN TO IMPLEMENT THE
CAADP-MALABO DECLARATION
(2017–2021)**

Table of Contents

TABLE OF CONTENTS	I
ACRONYMS AND ABBREVIATIONS	III
FOREWORD	VI
EXECUTIVE SUMMARY	VIII
SECTION I: INTRODUCTION	1
1.1 Purpose and Unique Features of the Business Plan	1
1.2 Structure of the Business Plan	1
1.3 Strategic Context.....	2
SECTION 2: CAADP-MALABO DECLARATION AS A FRAMEWORK FOR THE AU BUSINESS PLAN 5	
2.1 The CAADP-Malabo Vision and Mission: “The Compass”	5
2.2 Theory of Change and Guiding Results Framework: “The Roadmap”	5
2.3 CAADP-Malabo Strategic Programmes and Subprogrammes: “The Engine”	7
2.3.1 Programme 1: Strengthening Country and Regional Systems for CAADP Programme Delivery.....	8
2.3.2 Programme 2: Expanding Public and Private Investments	9
2.3.3 Programme 3: Increasing Agricultural Productivity and Strengthening Nutrition and Food Security	9
2.3.4 Programme 4: Inclusive and Sustainable Agricultural Production and Accelerated Agricultural Growth.....	10
2.3.5 Programme 5: Achieving Expanded and Competitive Intra-African Trade in Agriculture.....	10
2.3.6 Programme 6: Enhanced Resilience to Climate Change and Improved Risk Management.....	11
2.3.7 Programme 7: Strengthening Continental Coordination, Partnerships, and Mutual Accountability for Strategic Results	11
2.4 AU-CAADP Business Plan Delivery/Coordination Model.....	14
Guiding Principles.....	14
SECTION 3: ORGANIZATIONAL STRUCTURE AND FUNCTIONS FOR IMPLEMENTING THE CAADP- MALABO DELIVERY MODEL	17
3.1 Organizational Structure/Arrangements/Functions of AU-CAADP: Principles and Rationale for Enhancements/Restructuring	17
3.2 Staffing Strategy, Requirements/Rationale and Performance Contracts.....	17
3.3 Key Implementation Actors and Mechanisms: RECs and Technical Networks	19
SECTION 4: RESOURCE REQUIREMENTS AND FINANCING STRATEGY	20
4.1 Indicative Resource Requirements: A Programme and Results Approach	20
4.2 Financing Gap and Framework Financing Strategy: 2017 – 2021	21
SECTION 5: STRATEGIC PARTNERSHIPS AND COMMUNICATION	25
5.1 Enhanced Partnership Architecture.....	25
5.2 Collaborating and Technical Partners.....	25
5.3 Funding Partners.....	25

5.4 Universities, Research Institutes, Private Sector, Foundations and Civil Society Organizations.....	26
5.5 Strategic Communication	26
SECTION 6: IMPLEMENTATION STRATEGY/ARRANGEMENTS, ACCOUNTABILITY AND MONITORING AND EVALUATION	26
6.1 Coordination/Implementation Strategy, Arrangements and Mechanisms.....	26
6.2 Accountability Arrangements and Mechanisms	27
6.3 Monitoring and Evaluation: Tools for Facilitating Results and Accountability	27
SECTION 7: MAIN RISKS AND RISK MANAGEMENT STRATEGY/ MITIGATION ACTIONS	29
Risk 1: Uneven Commitment.....	29
Risk 2: Inadequate and Utilization of Resources	29
Risk 3: Uncertain Development Partner Support	30
Risk 4: Capacity Constraints for Field Implementation	30
Risk 6: Weak M&E	31

Acronyms and Abbreviations

ACBF	African Capacity Building Foundation
ACPC	African Climate Policy Centre
AfDB	African Development Bank
AGRA	Alliance for a Green Revolution in Africa
ARNS	African Regional Nutrition Strategy
ASWGs	Agricultural Sector Working Groups
ATPC	African Trade Policy Centre
ATOR	Annual Trends and Outlook Reports
AU	African Union
AUC	African Union Commission
BMGF	Bill & Melinda Gates Foundation
BP	Business Plan
CAADP	Comprehensive Africa Agriculture Development Programme
C-MRAs	CAADP-Malabo Result Areas
CAADP PP	CAADP Partnership Platform
CCDU	Climate Change and Desertification Unit
CET	Common External Tariff
CFE	Common Framework of Engagement
CFTA	Continental Free Trade Area
C-MRAs	CAADP-Malabo Result Areas
CIDA	Canadian International Development Agency
ClimDev-Africa	The Climate for Development in Africa Programme
CNC	CAADP Non-State Actors Coalition
COHA	Cost of Hunger in Africa
CoPs	Communities of Practice
CSOs	Civil Society Organizations
DFID	Department for International Development
DGCG	Development Partner Coordination Group
DPs	Development Partners
DREA	Department of Rural Economy and Agriculture

ECA	Economic Commission for Africa
ECOWAS	Economic Community of West African States
EU	European Union
FAFS	Framework for African Food Security
FAO	Food and Agriculture Organization of the United Nations
FAST	Forum for African Seed Testing
GA	Grow Africa
GAFSP	Global Agriculture and Food Security Program
GDP	Gross Domestic Product
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
HR	Human Resources
IAPSC	Inter-African Phytosanitary Council
IBAR	Interafrican Bureau for Animal Resources
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute
IS&R	Implementation Strategy and Roadmap
JPA	Joint Partnership Agreement
JSRs	Joint Sector Reviews
KEPHIS	Kenya Plant Health Inspectorate Service
M-T	Medium-Term
M&E	Monitoring and Evaluation
MAF	Mutual Accountability Framework
MDTF	Multi-Donor Trust Fund
MoU	Memorandum of Understanding
NAFSN	New Alliance for Food Security and Nutrition
NAIP	National Agriculture Investment Plan
NEPAD	New Partnership for Africa's Development
NPCA	NEPAD Planning and Coordinating Agency
NSAs	Non-State Actors
OIC	Officer in Charge
OP	Operational Plan

PATTEC	Pan African Tsetse and Trypanosomiasis Eradication Campaign
PHL	Post-harvest Loss
PHM	Post-harvest Management
PPPs	Public-Private Partnerships
PPP&D	Public-Private Partnership and Dialogue
PS	Permanent Secretary
RAIP	Regional Agriculture Investment Plan
RBM	Results-Based Management
RF	Results Framework
RECs	Regional Economic Communities
SAFGRAD	Semi-Arid Food Grains Research and Development
SIDA	Swedish International Development Cooperation Agency
SRAs	Strategic Result Areas
STC	Specialized Technical Committee
T&T	Tsetse and Trypanosomiasis
USAID	United States Agency for International Development
WB	World Bank
WEF	World Economic Forum

Foreword

A unique feature of the “African Union Business Plan to implement the CAADP-Malabo Declaration” is that for the first time in more than one decade, we, African Union institutions (AUC, NPCA and RECs), have come together to propose a joint and collectively developed multi-year plan for our operations. The Business Plan contains a package of innovative measures which we are happy to share with the broad CAADP fraternity. We believe, this will help us leapfrog into the future with confidence.

As you will notice, this plan has a focused programmatic and results-oriented approach. It presents a consolidated roadmap which outlines priority programme areas for catalyzing strategic results at continental, regional and especially country levels. This is an important shift from the business-as-usual activity-driven approach.

In considering which strategic options and approaches would best help us achieve the Malabo commitments, goals and targets, we were faced with two choices right from the beginning. The first option was to have our institutions focus on facilitating alignment and harmony of key agricultural policies, and facilitating partnerships at regional and country levels, as well as tracking progress on the assumption that member states and RECs will have the capacities, commitment and drive to achieve time-bound targets as outlined in the Malabo Declaration (including effective implementation of their National Agricultural Investments Plans – NAIPs, and Regional Agricultural Investments Plans - RAIPs). The second option was about drawing on lessons from the first decade of CAADP, taking a proactive facilitation role in capacitating and empowering RECs, member states and other key stakeholders – at REC and country level, and taking a country-led programme-based approach to achieve the Malabo commitments.

After careful consideration of the two avenues, we eventually opted for the second. We are convinced that with strong support and leadership from DREA and NPCA, *Option 2* offers the most effective way forward towards achieving our strategic results.

On the operational front, the Business plan adopts an innovative 4-pronged approach to deliver results and impact. We are in a much better position today than in the past to articulate in simpler terms the four main services that we deliver as African Union institutions:

- (i) Formulation of strategic frameworks, good practices and tools for each of the sub-programmes outlined in the Business Plan;
- (ii) Provision of high quality capacity building tools and instruments, including training materials
- (iii) Provision of high quality and demand-driven implementation support to RECS and member states (in the efficient and effective review and implementation of their NAIPs and RAIPs, including implementation of agricultural policies and regulations, and undertaking the required institutional reforms in the process); and
- (iv) Establishment and operationalization of effective frameworks and mechanisms for mutual learning and mutual accountability to enhance the acceleration of the Agricultural Transformation Agenda.

The programmatic and results-based approach has led us to identify seven major programmes, with 36 attendant sub-programmes, that are consistent with of the seven results areas in the Malabo Declaration.

The *Delivery Model and Mapping Tool* that we have designed to catalyze implementation of the programmes in this Business Plan provides three guiding principles for our interventions:

- (i) AU-DREA and NPCA working as a team and playing a catalytic and empowering role
- (ii) Strong performance-based and accountability orientation within AUC, NPCA and RECs; and
- (iii) Emphasis on fostering effective partnerships and alliances with strategic stakeholders, within and outside the AU umbrella, and working towards a common goal (as outlined in the CAADP Results Framework).

We are committed to support implementation of the Malabo Declaration and enable member states to deliver results and impact. These will include: mobilizing a reliable and deployable technical expertise, operating a reliable and trusted accountability mechanisms, addressing in a sustainable manner the funding requirements for implementation, building the strategic partnerships, coalitions and communications needed to advance the cause of agriculture transformation in the years to come, and agreeing on the most suitable implementation strategy, arrangements and mechanisms which anticipate the main risks and factor in appropriate mitigation measures.

With this plan, we have an unprecedented opportunity to guide our continent down the transformation pathway from a better informed position as “*Agents of Change*”.



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and Agriculture,
African Union Commission



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Executive Summary

The strategic context of this exercise is the urgency of ensuring the African Union (AU) entities and its member states generate strategic results from implementing the key actions outlined in the CAADP-Malabo Declaration on Accelerated Agricultural Growth and Transformation for Shared Prosperity and Improved Livelihoods. These actions will be guided by numerous evidenced-based assessments, roadmaps and implementation lessons that have been supported through the Comprehensive Africa Agriculture Development Programme (CAADP).

The main purpose of the AU-CAADP Business Plan (BP: 2017-2021) is to provide a clear, concise, and agreed upon “framing document”/strategic framework for guiding implementation and delivery of the commitments outlined in the CAADP-Malabo Declaration. This BP, together with other key information and consultations, also will be used to help mobilize and align development partners (DPs) and other CAADP constituencies’ support within the priority result areas, which contribute to the achievement of the CAADP-Malabo commitments. An African Union (AU) team prepared this BP, with inputs from and in consultation with a range of stakeholders, including technical staff of the African Union Commission - Department of Rural Economy and Agriculture (AUC-DREA), the NEPAD Planning and Coordinating Agency (NPCA), Regional Economic Communities (RECs), and DPs.

Programmatic Approach to Support the Malabo Result Areas: The seven CAADP-Malabo Result Areas (C-MRAs), with their corresponding seven programmes and 36 subprogrammes, are the core drivers of this BP. The MRAs, together with their strategic thrusts, are outlined below:

1. **Recommitment to Principles and Values of the CAADP process:** agricultural policy and regulatory frameworks, coupled with evidence-based planning and budgeting; agricultural sector organizational and functional arrangements and capacity; in-country and regional coordination and accountability mechanisms; partnerships, alliances, including farmer organizations, cooperative and civil society.
2. **Enhancing Investment Finance in Agriculture:** public policy, regulatory and financing framework for catalyzing private sector investments; level and quality of agriculture public expenditures; domestic and foreign investment promotion; public-private-partnerships and dialogue.
3. **Ending Hunger in Africa by 2025:** access to and use of increased agricultural inputs and mechanization; post-harvest management; homegrown school feeding; biofortification; food and nutrition knowledge management, nutrition status and nutrition coordination; food/diet diversification; and social protection.
4. **Halving Poverty by 2025, Through Inclusive Agricultural Growth and Transformation:** sustainable land management and governance; irrigation and water management; animal resources development; technology generation, dissemination and adoption; agripreneurship for youth and women; and value chain development.
5. **Boosting Intra-African Trade in Agricultural Commodities and Services:** policy and trade regime harmonization; food safety and compliance, and trade standards; market orientated infrastructure; agricultural growth zones/corridors; and trade negotiation capacity
6. **Enhancing Resilience of Livelihoods and Production Systems to Climate Variability and other Related Risks:** early warning and response systems; mainstreaming and

sustainability of climate change and risk management; climate change negotiation capacity; natural resource management (especially forestry); and disaster risk management.

- 7. Strengthening Mutual Accountability to Actions and Results:** focus at the continental level: strategic knowledge management; strategic communication and advocacy; strengthened coordination, partnerships and resource mobilization; M&E systems reporting and biennial reviews; leadership and political engagement for implementation.

Based on these seven C-MRAs, the BP outlines seven corresponding programmes and their supporting 36 subprogrammes. Using a results framework (RF) methodology, each programme is underpinned by a strong results chain with clear and coherent objectives, outcomes, and supporting subprogrammes. Eight priority subprogrammes have been identified as priority, given their strategic roles in contributing to the overall goals and SP objectives.

Each subprogramme and its objectives and outcomes will generate strategic and prioritized outputs, comprised of four main types of common products/services, which will be contextualized to support member state requirements. The focus of these outputs involves continental “public good” services/products that only the AU entities can provide and exhibit a comparative advantage in providing to member states. These outputs include:

- Strategic frameworks, tools, and good practices, drawing on relevant global and continental-level experiences and good practices (generally Priority 1, because it drives other key results);
- Capacity development modules and their delivery to key stakeholders (generally Priority 2, because it helps ensure sustainability);
- Demand-driven implementation assistance (generally Priority 3, because it helps ensure tangible results at the country level);
- Shared learning arising from the implementation experience at the three levels, and which will be incorporated in the above three services (another “continental public good”); and
- The member states will have the main responsibility for delivery of the CAADP-Malabo commitments, and will be supported by these four main types of services.

BP Delivery Model: A central feature of the BP is the introduction/application of a programmatic approach and an innovative delivery model of the four types of services to be provided by the AU entities in a coordinated, complementary and synergistic manner. This delivery model includes enhanced mechanisms for internal and external engagement and coordination, drawing on the expertise of technical Networks and technical partners to support member-state delivery of the CAADP-Malabo commitments. This delivery model also will be supported by enhanced accountability mechanisms, as well as M&E and a reporting system, including biennial reports to be submitted to the AU Summit, and used as management tool.

Technical Human Resources (HR) and Accountability Mechanisms: The programmes and supporting subprogrammes outlined above will require an appropriate level and composition of a highly qualified managerial and technical/coordinating team. All AU technical team members will play an important coordinating, catalytic and facilitating role in helping to engage other collaborating entities and technical experts, including the pivotal technical networks. There will be enhanced accountability mechanisms to help ensure strong performance and results.

Funding Requirements/Priorities: The financial resource requirements to deliver efficiently and effectively on the CAADP–Malabo commitments during the period 2017-2021 total approximately US \$103.7 Million (or about US\$20 M per year).

Financing Gap and Strategy: There is approximately a current financing gap of about US\$ 62.0 M (or about 60% of the total estimated requirements). The financing strategy will build on existing strategies and sources, and pursue innovative mechanisms from domestic/Africa and external sources, based on a forthcoming resource mobilization strategy. The BP and supporting Operational Plan (OP) emphasize identifying clear strategic priorities to ensure these priorities are adequately funded. To the extent the financing gap is closed, additional results with respect to the CAADP-Malabo commitments will be accelerated and achieved.

Strategic Partnerships and Communications: The BP and its delivery model accords high priority to fostering complementary strategic partnerships at four levels—global, continental, regional and country—supported by enhanced communications and dissemination of results.

Implementation Strategy, Arrangements and Mechanisms: The core of the implementation strategy of the BP will revolve around using the results framework (RF) and its supporting operational plan as a roadmap for guiding implementation and activating an improved delivery model to carry out the strategic activities at the relevant levels (continental, regional and/or member state). Implementation will be supported by enhanced coordination and teamwork mechanisms, which will be strengthened at the three levels.

Main Risks and Mitigation Measures: The risk management of this BP involved a contextual assessment that provided the basis for identifying six priority risks and their mitigating actions, which are outlined in this BP. These six risks involve:

- Variable commitment of key stakeholders;
- Inadequate level and utilization of resources (human and financial for programme implementation);
- Uncertain, variable and inadequate development partner support;
- Capacity constraints for effective implementation at REC and country levels
- Mobilizing the key role of a constrained private sector; and
- Weak and results-focused Monitoring and Evaluation systems to track progress and make needed adjustments.

Finally, this BP and its supporting OP aim to catalyze and support prioritized and results-focused actions at the continental, regional and member state level, especially those that will help deliver on the CAADP-Malabo commitments with the support of other key actors (e.g. technical networks).

Section I: Introduction

1.1 Purpose and Unique Features of the Business Plan

The main purpose of the AU-CAADP Business Plan (BP: 2017-2021) is to provide a clear, concise, and agreed upon “framing document”/strategic framework for guiding implementation and delivery of the commitments outlined in the Malabo Declaration. This BP, together with other key information and consultations, also will be used to help mobilize and align development partners (DPs) and other Comprehensive Africa Agriculture Development Programme (CAADP) constituencies’ support with the priority result areas that contribute to the achievement of the Malabo commitments. This BP was prepared by an African Union (AU) team, in consultation with a range of stakeholders, including the African Union Commission - Department of Rural Economy and Agriculture (AUC-DREA), the NEPAD Planning and Coordinating Agency (NPCA), regional economic communities (RECs), and DPs.

The Business Plan has the following six main features:

- Presents a consolidated roadmap that outlines seven priority programme areas for catalyzing strategic results at country, regional and continental levels.
- Develops a programmatic and results-driven approach, using a results framework as a tool for identifying priority outputs and activities.
- Guides a detailed Operational Plan, which identifies priority activities, implementation modalities and key actors, according to each of the 36 subprogrammes.
- Focuses on performance metrics and emphasizes enhanced coordination and accountability mechanisms.
- Emphasizes teamwork and complementarity among AU players and other key actors (e.g. Technical Networks), in accordance with institutional comparative advantage and mandates.
- Recognizes that member states have the main responsibility to achieve most of the CAADP Malabo commitments, in line with subsidiarity; accordingly, the BP and OP provide catalytic support to the member states.

1.2 Structure of the Business Plan

This BP is comprised of seven sections.

- Section 1 presents the background and strategic context and, in particular, relevant CAADP initiatives and their documentation. Furthermore, Part 1 captures lessons learned pertinent for this BP and the mandates/roles of the key AU actors.
- Section 2 summarizes the CAADP-Malabo Declaration and its seven result areas as the guiding framework for the BP, and provides the basis for the corresponding strategic programmes.
- Section 3 outlines the institutional architecture and functions for driving implementation and generating strategic results, keeping in mind the AUC’s support role to RECs and member states.
- Section 4 provides the estimated resource requirements, funding gap and indicative financing plan for implementing the BP.

- Section 5 highlights the strategic partnerships and communication strategy for working together more effectively.
- Section 6 summarizes the key features of the complementary implementation, coordination and accountability strategies and mechanisms for achieving the results.
- Section 7 identifies the most relevant risks and mitigation measures.

There are nine Annexes (as a separate volume) which provide key supporting information and details to underpin the BP and to ensure it is a self-contained document.

1.3 Strategic Context

Guiding Framework Documents: The AU’s Agenda 2063, the Ten Year Implementation Plan and the Malabo Declaration for 2025 provide the driving vision and frameworks for this BP. Together, these documents recognize the pivotal role of the agricultural sector in the transformation of African economies (e.g., 33% of Gross Domestic Product (GDP); 80% of labor force; 66% of poverty reduction; and 90% of exports). This BP also derives from key CAADP documents that highlight four strategic drivers¹ meant to guide and sustain achievement of the seven Malabo commitments and accelerated agricultural transformation of African countries. The drivers also outline implementation strategies and mechanisms involving strategic partners².

CAADP-Malabo Results Areas (MRAs): This BP identifies seven priority programmes that serve as the instruments for achieving the seven main commitments outlined by the CAADP-Malabo Declaration of 2014 known as the CAADP-MRAs. The direct responsibility for implementation of on-the-ground programmes for achieving these commitments lies with the member states, but the AUC has an important role in “support and consultation” to member state initiatives, taking advantage of the continental perspective that can only be assured through AUC entities. The approach of the delivery model in this BP is to help “make things, the ‘right’ things, happen” in an efficient and effective manner, working closely with key partners, especially the RECs and technical networks, to help member states achieve the Malabo commitments. The focus is on supporting implementation and securing sustainable results, as opposed to planning and processes.

Key Features of CAADP-Malabo Declaration: The CAADP-Malabo Declaration of 2014 has brought in new dimensions from its predecessor (the Maputo Declaration, 2002) with respect to

¹ (1) Commercialization and modernization of smallholder agriculture by intensification of market-linked production; (2) Expanding and linking domestic markets to regional markets in order to ensure market stability and reduce dependence on global food markets; (3) Increase resilience through coping and adaptation measures including the promotion of risk mitigation and shock reduction measures especially those that improve the functioning of markets; and (4) Improve the management of natural resources and permit increased participation of local communities.

² The CAADP Results Framework 2015-2025: Going for Results and Impacts (AUC and NEPAD, 2015); Implementation Strategy and Roadmap to Achieve the 2025 Vision on CAADP: Operationalizing the 2014 Malabo Declaration (AUC and NEPAD, 2015); The Programme of Work: Operationalizing the Malabo Declaration on African Agriculture and CAADP Implementation Strategy and Roadmap (AUC and NEPAD, 2016); Sustaining the CAADP Momentum to Spur Agriculture Transformation: Achieving Malabo Targets through four thematic areas (AU and NPCA, 2016); Boosting Intra-African Trade: Issues Affecting Intra-African Trade, Proposed Plan of Action for boosting Intra-Africa Trade and Framework for fast tracking of a Continental Free Trade Area (AUC, 2012) (this is an example of a solid working document which helped underpin the Malabo Declaration (MRA 5); there are other similar working documents which helped to underpin the other C-MRAs of the Malabo Declaration.)

focus, scope, content and delivery of CAADP. Malabo commitments significantly expanded the CAADP agenda in terms of thematic coverage and mutual accountability requirements. The National Agriculture Investment Plan (NAIP) remains the main operational and investment vehicle for achieving the CAADP-Malabo targets, while recognizing the role of other complementary instruments as well.

Sector Performance: The AU Assembly of 2014 has acknowledged the growth and progress in the African agricultural sector in recent years³. This has occurred in combination with greater alignment, harmonization and coordination of initiatives and actions of stakeholders and partners with priorities included in NAIPs and Regional Agriculture Investment Plans (RAIPs) driven by CAADP. The Assembly noted the variability of results, shortfalls in meeting key targets by most member states (e.g. agricultural growth of 6% pa, and agricultural public expenditure allocations of 10% of total government allocations) and the continuing challenges. The AU Assembly stated these shortfalls and challenges needed to be addressed if Africa is to achieve accelerated agricultural growth and transformation for shared prosperity and improved livelihoods.⁴ These AU directives drive the BP and its supporting OP.

CAADP Phase 1 Key Lessons: Analyses of the first phase of CAADP (2003 – 2014) suggest that substantial progress has been made, but that there remain key challenges that the second phase needs to address.⁵ A decade of CAADP implementation has laid firm foundations for rigorous planning, programming and policymaking and for accelerating investment in African agriculture. There is growing African ownership and leadership of CAADP, and there is increased engagement by diverse stakeholders through enhanced accountability mechanisms.

Key lessons (6) gleaned from this phase include:

1. It is increasingly clear that CAADP, by its nature, must be an agenda for transformation, and therefore needs strong coordination and support;
2. Change and transformation in agriculture must start from within the continent and its people, and hence require effective capacity development;
3. Africa has to upgrade its food security strategy to a food sovereignty strategy. Accordingly, food sovereignty strategies require nations and regions to design a combination of interlocking policies and strategies that include local production, storage and food reserves, as well as trade. (4) The continent is urbanizing rapidly and its urban population is expected to reach 50% by 2035, including a growing middle class, with consequences in terms of increased demand for processed agri-food products and competitive value chain development, and hence an expanded private sector role;
4. African countries need to strengthen leadership which will help ensure sound planning, implementation and accountability, fostering a result-focused culture; and
5. There is a need for strong African-driven alliances and technical networks (TNs) to support large-scale implementation.

³ For a recent comprehensive assessment, see: Africa Agriculture Status Report 2016: Progress towards Agricultural Transformation in Africa (AGRA, 2016). In addition, ReSAKSS prepares Annual Trends and Outlook Reports (ATORs).

⁴ The Africa Union's (AU's) 2014 implementation report, "CAADP: Sustaining the Momentum into the Next Decade", reviewed the key issues African agriculture in the coming decade.

⁵ For a recent summary of achievements, challenges and lessons, see the above-cited AGRA report (2016) and ATOR (2015).

A Multi-Donor Trust Fund (MDTF, 2016) evaluation has also highlighted a number of additional lessons from implementation of the first ten years of CAADP with implications for the next phase of programmatic support for the CAADP-Malabo commitments.⁶ This evaluation identified eight lessons involving the following topics, especially with respect to a follow-on facility (i.e., “pooling of funds” for programmatic support): Diversity; Supply and Demand-Side Relevance; Subsidiarity; Need for Focus; The Pillar/Thematic Frameworks; Monitoring and Reporting; Governance and Management; and Institutional Arrangements. **See the MDTF Evaluation report for further details.**

Complementary Mandates/Roles of AU Agencies and Other Key Stakeholders: Because there are multiple players in the CAADP-Malabo space, it is exceedingly important to strengthen lines of communication and interaction. This can help ensure that messaging and advice to member states are consistent and helpful. Several documents highlight agreed mandates and roles of the relevant AU agencies.⁷ These mandates need to be flexible and responsive to realities on the ground, both in terms of resources and areas of specialization and expertise. Consequently, adjustments to these roles and working relationships may need to take place during implementation to achieve the strategic results outlined in this BP. [Annex 3](#) provides further details on the complementary roles of the AU bodies, non-state actors and development and technical partners.

Importance of Continued Support for the CAADP-Malabo Commitments: A key feature of this BP is to ensure that development partners and other actors align their support to CAADP-Malabo commitments. There are recent ongoing efforts to map and align the funding from DPs support to the CAADP agenda, though this mapping and alignment exercise is still very partial and in their early stages.⁸ [Annex 1](#) provides a summary of ongoing activities supporting the CAADP agenda. It is organized according to the programmes and subprogrammes outlined in this BP. These ongoing initiatives, and their enhanced alignment with the CAADP BP, provide a powerful instrument to support the implementation of the BP, and to generate positive results in the short term, including scaling up promising strategic results.

⁶ See Independent Evaluation Report of the CAADP Multi-Donor Trust Fund (MDTF), May 2016 (Main Report and Annexes),

⁷ Excerpt taken from the Implementation Strategy and Roadmap to achieve the 2025 Vision on CAADP (AUC-DREA and NPCA, 2015).

⁸ For example, see: Donor Support Flows to CAADP: Analysis of Existing Donor Commitments (DPCG, September 2016).

Section 2: CAADP-Malabo Declaration as a Framework for the AU Business Plan

2.1 The CAADP-Malabo Vision and Mission: “The Compass”

The Malabo Declaration vision focuses on promoting and achieving accelerated African agricultural growth and transformation for shared prosperity and improved livelihoods. The Malabo Declaration mission is to achieve this transformation through harnessing opportunities for inclusive growth and sustainable development, and working through and empowering multi-stakeholder partnerships. The AU’s “core values” and Agenda 2063 drive the vision and mission of the CAADP-Malabo Declaration. Also, the “core values” are consistent with the values and aspirations outlined in Agenda 2063.

In order to achieve the above CAADP-Malabo vision and mission, the CAADP-Malabo Declaration of 2014 outlined seven result areas (C-MRAs) and their targets, to the year 2025. These C-MRAs build on the CAADP results framework (2015). CAADP’s achievements and lessons serve as anchors for the foundation and drivers of the Malabo agricultural transformation.

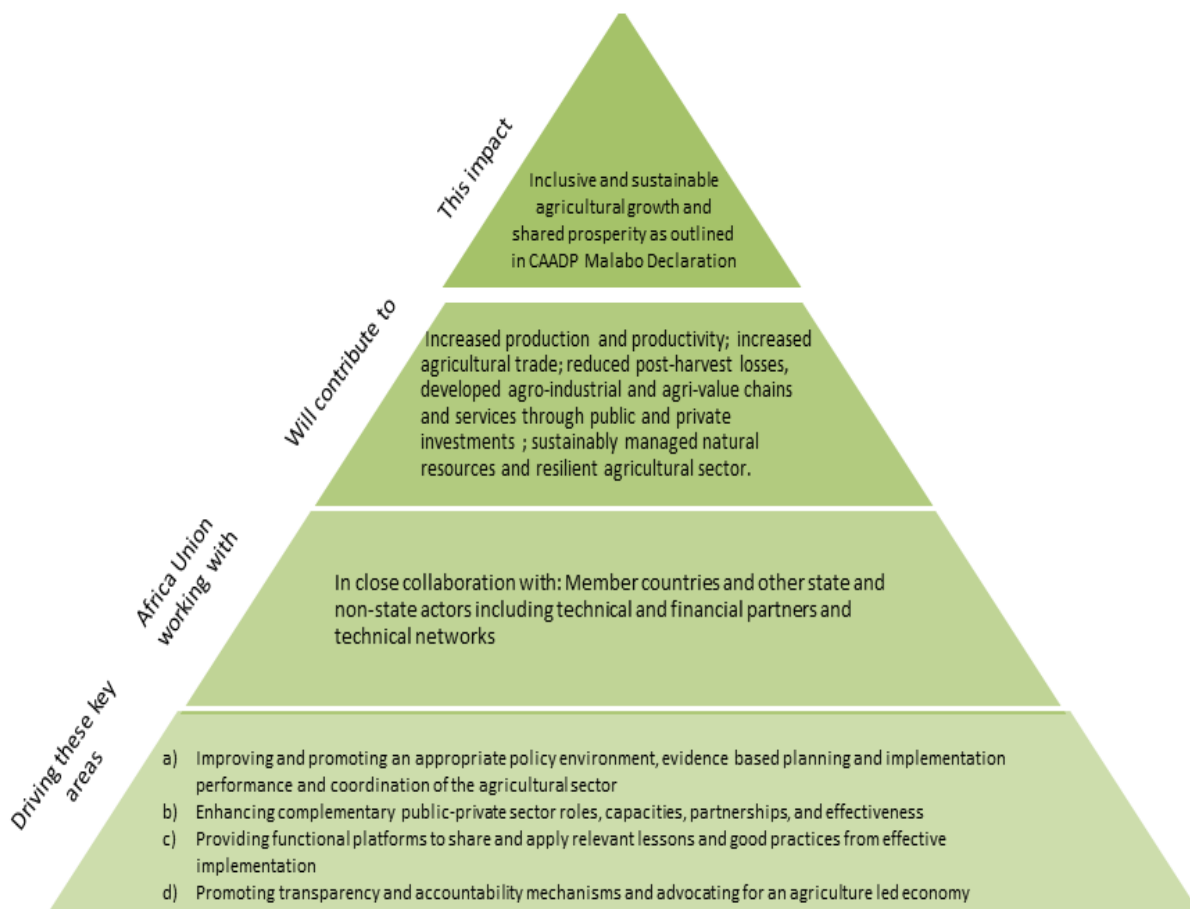
2.2 Theory of Change and Guiding Results Framework: “The Roadmap”

The AU CAADP team has derived the following theory of change to guide the design and implementation strategy of this BP: See Figure 1 for an illustration of the key elements)

“By (a) improving and promoting an appropriate policy environment and implementation performance of the agricultural sector; (b) enhancing complementary public/private sector roles, capacities, partnerships and effectiveness; (c) providing functional platforms to share and apply relevant lessons and good practices from the first decade of implementation of CAADP; (d) promoting transparency and accountability mechanisms and advocating for an Agriculture-led Economic Transformation on the continent.... the African Union institutions, working in close collaboration with member states and other state and non-state stakeholders (including technical partners and technical networks), will contribute to increased production and productivity; increased agricultural trade; reduced post-harvest losses, developed agro-industrial and agri-value chains and services through public and private investments; sustainably managed natural resources and resilient agricultural sector, and thereby contribute significantly to inclusive and sustainable agricultural growth and shared prosperity as outlined in the CAADP Malabo Declaration.”

Overview of the Results Framework: A RF developed for this BP provides the foundation for its core features. This RF is consistent with and operationalizes to the overall CAADP RF (2015), while focusing on those actions that the AU entities need to take to facilitate and accelerate priority actions by member states and other key stakeholders. The BP Results Framework identifies and prioritizes the most relevant services/products (the “what”) to be delivered by the AU entities (i.e., AUC-DREA, NPCA/CAADP Unit, and RECs) to achieve the Malabo commitments. The underlying results chain of the BP is informed by evidence from an array of documents on the drivers of African agricultural transformation and their binding constraints. Accordingly, this RF outlines the roadmap the AU entities need to follow to play their role in achieving the seven CAADP-Malabo result areas (C-MRAs) and their objectives/outcomes.

Figure 1: Illustration of the Theory of Change Underpinning the CAADP-Malabo BP



Building on the theory of change, the RF identifies the corresponding CAADP-Malabo programmes (7), component subprogrammes (36), priority outputs and implementation roles needed to support the Malabo’s desired transformational results at the outcome and impact levels. The results framework and underlying results chain is illustrated in Figure 1. The structure and main elements of the RF are highlighted in Table 1. The RF emphasizes the importance of having clear pathways between programmes, SPs and expected results the in terms of identifying priority outputs and supporting activities, whereby the priority activities are identified and presented in the supporting OP. The RF also emphasizes the complementary roles of the AU institutions (AUC, NPCA, RECs) and other key actors (e.g., technical networks, private sector) in helping member states achieve the CAADP-Malabo commitments (see Annex 1 of the BP for further details of the BP and Annex 1 of the OP for the full BP).

Table 1: Illustration of the Structure of the CAADP-Malabo Results Framework

CAADP - Malabo Result Areas/C-MRAs (7) and Impact Level Targets						
CAADP Strategic Programmes And Objectives (7)	CAADP Sub-Programmes (36) And Objectives (and Outcomes) (about 4-6 SPs per Programme)	Main Binding Constraints (to achieving the objectives of the subprogrammes)	Priority Outputs (3-4) (based on 4 criteria)	Performance Indicators (+ Output level targets)	Indicative Timeframe (between 2017-2021)	Responsible Institution (RI) and Other Key Actors (OKAs)

Annex 1 summarizes the structure of the RF. The details of the RF are presented in the supporting OP (see Annex 2 of the OP).⁹ The OP (Annex 1) also includes a detailed mapping of relevant ongoing projects/initiatives that are supporting the CAADP agenda. The prioritized activities outlined in the OP will build on and expand on relevant strategic ongoing initiatives.

2.3 CAADP-Malabo Strategic Programmes and Subprogrammes: “The Engine”

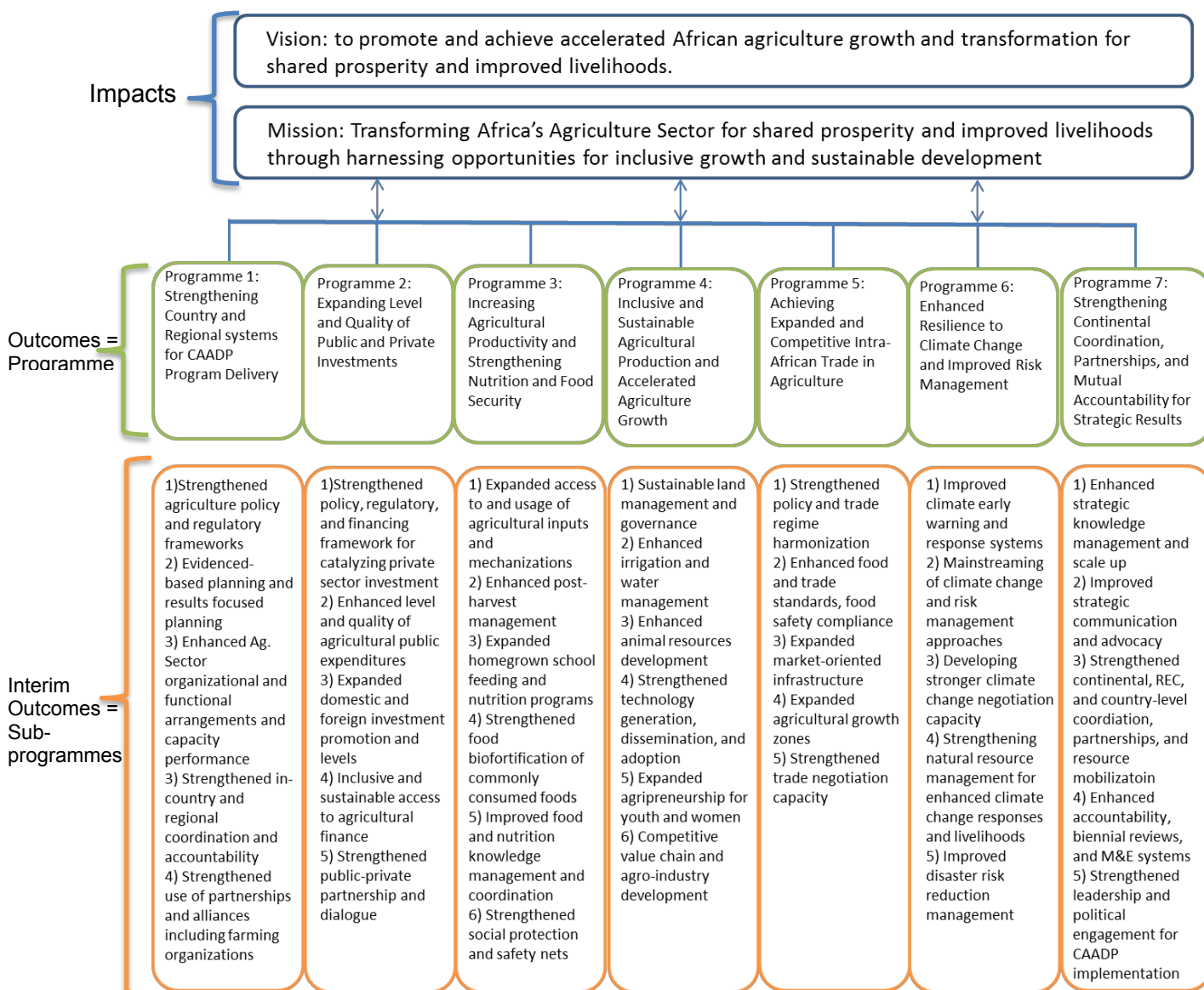
The AU agencies will support member states using four main types of products/services, each designed to accelerate progress towards achieving the goals of the C-MRAs and corresponding Programmes outlined below:

1. Formulation of continental-level strategic frameworks, good practices, benchmarks and tools for priority subprogrammes identified in the BP. These good practice strategies are intended to highlight what works and does not work, and to help inform/support similar operational strategies to be developed, contextualized and implemented by member states at the country level.
2. Preparation of high quality capacity building tools, training modules, and their delivery to member states, in support of achieving and sustaining the objectives of the strategic subprogrammes. The training modules would be imparted at the regional and/or country level, varying according to the needs and demands of the countries, and efficiency considerations in the delivery approach.
3. Provision of on-demand implementation and monitoring support, primarily through the relevant technical networks of program development, provided to RECs and member states as requested, including inputs for their country specific strategic frameworks, for their NAIPs/RAIPs, and other priority country requirements.

⁹ The OP outlines the work plan for 2017-2021, providing details for 2017 and 2018; this includes prioritized and phased activities and implementation responsibilities, in line with established mandates/roles of AUC-DREA, NPCA, RECs, member states and other key stakeholders. For example, top priorities for 2017 will include biennial review activities/outputs, including training and improved data systems and compilation; communication strategies/activities; support to country-driven NAIP reviews; and resource mobilization activities. While the OP pertains to AUC-DREA, the OP also provides a framework to enable NPCA and RECs to prepare their own OP/work plans, and thereby this OP helps to ensure strong alignment, complementarity, and coordination in catalyzing interventions by the AU bodies. AUC/DREA will update its OP annually, as part of its budgetary planning exercise.

4. Shared mutual learning and accountability arising from the implementation experience of the BP/OP at the continental, regional and country levels, and which will be incorporated in the above three outputs/services, thereby generating efficient synergies.

Figure 2: Illustration of the Results Framework for the Implementation of Malabo Declaration



2.3.1 Programme 1: Strengthening Country and Regional Systems for CAADP Programme Delivery

This is a foundational programme needed for the other programmes to have a good chance of having their desired agricultural productivity, food security and developmental impact. Consequently, it is one of the main and initial areas of focus of the AU entities. Its objective is for member states and RECs to strengthen their capacities and systems for enhanced CAADP programme content, implementation and strategic results.

There are four strategic and complementary subprogrammes to achieve these objectives and results at the country and REC levels (* reflects priority SP):

1. * Strengthened agricultural policy and regulatory frameworks, and evidenced-based and results-focused planning and budgeting for the agricultural sector;
2. Enhanced agricultural sector organizational and functional arrangements, capacity and performance;
3. Strengthened in country and regional coordination and accountability mechanisms; and
4. Strengthened and use of partnerships and alliances, including farmer organizations, apex bodies, agribusiness, and civil society.

2.3.2 Programme 2: Expanding Public and Private Investments

Achieving the goals of the Malabo Declaration requires substantial investment into and around the agriculture sector. This calls for improving the enabling policy and regulatory environment for catalyzing private sector investments and increasing the level and effectiveness of public expenditures in agriculture. The main way in which AU entities can ensure achievement of the goals of this programme is to help member states and RECs learn from one another and determine how collaboration and harmonization of policies and programs can help all member states increase agricultural investment.

The target accomplishments for member states by the end of the Business Plan period are: (1) improved policy framework which will stimulate increased domestic and foreign private sector investments; (2) allocate at least 10 % of total government budget to the agricultural sector (in support of the Maputo Declaration commitment, reiterated by the Malabo commitments); (3) functional PPP models and partnerships and alliances which will enable increased and inclusive private sector investments (and strong linkage with Programme 4 below, regarding value chain development).

There are five subprogrammes designed to achieve the expected results (*reflects priority SP):

1. * Strengthened policy, regulatory & financing framework for catalyzing private sector investments;
2. Enhanced level and quality of agricultural public expenditures;
3. Expanded domestic and foreign investment promotion and levels;
4. Inclusive and sustainable access to agricultural finance; and
5. Strengthened public-private-partnership and dialogue (PPP&D).

2.3.3 Programme 3: Increasing Agricultural Productivity and Strengthening Nutrition and Food Security

The main objective of this programme is to increase agricultural productivity and strengthen food and nutrition security through improvements in inputs, mechanization, and post-harvest management. The critical and unique role of AU entities in support of this programme will be to help RECs and member states develop and drive policies that connect member states agriculture sectors in such a way as to allow for greater interaction and efficient production and exchange of goods and services. The three main impact level targets for this results area

include, (1) A doubling of productivity, focusing on inputs, irrigation, and mechanization; (2) A 50% reduction in post-harvest losses (PHL) by 2025; and (3) Ending malnutrition in all its forms while reducing stunting to 10% and underweight children to 5% by 2025. The OP will establish corresponding milestone targets by end-2021.

This programme is comprised of the following six subprogrammes (*reflects priority SPs):

1. * Expanded access to and usage of agricultural inputs and mechanization;
2. Enhanced post-harvest management (PHM);
3. Expanded homegrown school feeding and nutrition programmes;
4. Strengthened food bio fortification of commonly consumed foods, especially to improve household nutrition of low-income households;
5. * Improved food and nutrition knowledge management and coordination; and
6. Strengthened social protection and safety nets.

2.3.4 Programme 4: Inclusive and Sustainable Agricultural Production and Accelerated Agricultural Growth

The objective of this programme is to promote intensified, inclusive and sustainable agricultural production and growth, and expanded and competitive private sector-driven agro-industrial development, which will contribute to agricultural transformation. Key CAADP-Malabo targets for this programme include: (1) Sustained annual agricultural GDP growth of at least 6%; (2) Halving poverty by 2025; (3) Inclusive agricultural growth will contribute at least 50% to the overall poverty reduction target; (4) At least double productivity, focusing on inputs, irrigation, and mechanization (and hence has a strong linkage with programme 3).

The six supporting subprogrammes include (* reflects priority SP):

1. Sustainable land management and governance;
2. Enhanced irrigation and water management;
3. Enhanced animal resources development;
4. * Strengthened technology generation, dissemination and adoption;
5. Expanded agripreneurship for youth and women; and
6. Competitive value chain and agro-industry development.

2.3.5 Programme 5: Achieving Expanded and Competitive Intra-African Trade in Agriculture

Empirical research shows that reduced trade barriers across borders helps ensure food security and access to food at reasonable and stable prices. Furthermore, by offering larger markets, unimpeded by trade barriers between member states, Africa will provide greater incentives to entry and implantation of commercial agriculture and agribusiness. Accordingly, the key target for this programme is to triple intra-African trade in agricultural commodities and services. While the specific policies and regulatory actions needed for this target to be achieved must be taken by member states, the role of AU entities (including RECs) in driving advocacy for this is critical. It requires an argument that all member states will be better off despite possible losses in subsectors of member states. Research and evidence dissemination on the value of increased and competitive trade is an important function of AU entities.

The five supporting strategic subprogrammes include (* reflects priority SP):

1. * Strengthened policy and trade regime harmonization;
2. Enhanced food and trade standards, food safety and compliance;
3. Expanded market-oriented infrastructure;
4. Expanded agricultural growth zones/corridors; and
5. Strengthened trade negotiation capacity.

2.3.6 Programme 6: Enhanced Resilience to Climate Change and Improved Risk Management

The objective of this programme is to strengthen agriculture sector and farm family resilience to shocks such as those associated with climate change and other acute disasters. The five supporting subprogrammes include (* reflects priority SP):

1. Improved Climate Early Warning and Response Systems;
2. * Mainstreaming of climate change and risk management approaches;
3. Developing stronger climate change negotiation capacity (at country level);
4. Strengthening natural resource management for enhanced climate change response and livelihoods (especially forestry management); and
5. Improved Disaster Risk Reduction and Management.

A key target for this results area is to ensure that at least 30% more farm/pastoral households are resilient to climate and weather risks.

2.3.7 Programme 7: Strengthening Continental Coordination, Partnerships, and Mutual Accountability for Strategic Results

This is another crosscutting and foundational programme for which AU entities have a strong responsibility to promote, and for which the same entities have the comparative advantage given their convening and coordination authority and roles. Strengthening mutual accountability, supported by enhanced reporting systems, will lead to improved policy and programme performance over time as well as to enhanced ownership of policies and programmes.

The five supporting subprogrammes include (* reflects priority SP):

1. Enhanced strategic knowledge management and scale-up;
2. Improved strategic communication and advocacy;
3. Strengthened continental, REC, and country-level coordination, partnerships and resource mobilization;
4. * Enhanced continental accountability, biennial reviews and M&E systems/reporting; and
5. Strengthened leadership and political engagement for CAADP implementation.

Table: An overview of the AU Business Plan, its programmes and sub-programmes

C-MRA1: Commitment to principles and values of the CAADP process	
P1: Supporting Country and Regional Systems for CAADP Program Delivery	SP 1.1 Strengthened Policy and Regulatory Frameworks, and Evidenced-based planning and budgeting for Ag. Sector
	SP 1.2 Enhanced Ag. Sector Organizational and Functional Arrangements, Capacity and Performance
	SP 1.3 Strengthened in-country and regional coordination and accountability mechanisms
	SP 1.4 Strengthened and use of partnerships and alliances, including farmers, agri-business, and civil society
C-MRA2: Enhancing Investment Finance in Agriculture	
P2 Expanded Public and Private Investments	
	SP 2.1 Strengthened policy, regulatory & financing framework for catalyzing private sector investments
	SP 2.2 Enhanced level and quality of agricultural public expenditures
	SP 2.3 Domestic and Foreign Investment Prom.
	SP 2.4 Inclusive and Sustainable Access to Agricultural Finance
	SP 2.5 Public-Private- Partnership and Dialogue (PPP&D) Development
C-MRA3: Ending Hunger in Africa	
P 3: Increased Agricultural Productivity and Strengthened Nutrition and Food Security	SP 3.1: Expanded Access to and Usage of Agricultural Inputs & Mechanization
	SP 3.2 Enhanced Post-Harvest Management (PHM)
	SP 3.3 Expanded home-grown school feeding
	SP 3.4 Expanded Food bio-fortification
	SP 3.5 Improved Food & Nutrition knowledge Management, Nutrition Status (especially child malnutrition/stunting) and Nutrition Coordination (includes diet diversification)
	SP 3.6 Improved Social protection and safety nets
C-MRA4: Reducing Poverty through Inclusive Ag. Growth and Transformation	

P4: Inclusive and Sustainable Agricultural Production and Expanded and Competitive Private Sector/Agro-Industry Development	SP 4.1 Sustainable Land Management and Governance
	SP 4.2: Enhanced Irrigation & Water Management
	SP 4.3: Enhanced Animal Resources Development
	SP 4.4: Strengthened Technology Generation, Dissemination and Adoption
	SP 4.5 Expanded Agripreneurship for Youth and Women (including business skills and incubation strategies and practices)
	SP 4.6 Competitive Value Chain and Agri-Business Development
C-MRA5: Boosting intra African Trade in Agricultural Commodities and Services	
P 5: Expanded Intra-African trade in Agriculture	SP 5.1: Strengthened Policy and Trade Regime Harmonization
	SP 5.2: Enhanced Food and Trade Standards, Food Safety and Compliance
	SP 5.3: Expanded Market-oriented infrastructure
	SP 5.4: Expanded Agricultural Growth Zones/Corridors
	SP 5.5: Strengthened Trade negotiation capacity development
MRA6: Resilient Livelihood, production systems for Climate Change, Variability, other related risks Key Target	
P 6: Enhanced Resilience Building, and Climate Change and Risk Management	SP 6.1: Improved Climate Early Warning and Response Systems
	SP 6.2: Enhanced Mainstreaming of Climate Change and Enhanced Mainstreaming of Risk Management
	SP 6.3: Strengthened Climate Change Negotiation Capacity development
	SP 6.4: Sustainable Natural Resource Management and Biodiversity Conservation
	SP 6.5: Climate Resilience and Natural Disasters Preparedness and Prevention
MRA7: Enhanced Mutual Accountability for Strategic Actions and Results	

P 7: Strengthened Knowledge Management, Program Coordination and Partnership, Policy Engagement, and Mutual Accountability	SP 7.1: Enhanced Strategic Knowledge Management and Scale-Up
	SP 7.2: Enhanced M&E Systems at Continental, REC and Country Levels and Enhanced Accountability, Biennial Reviews and Reporting
	SP 7.3: Strategic communication and advocacy
	SP 7.4: Strengthened continental level coordination, partnerships and resource mobilization
	SP 7.5: Strengthened Leadership and political engagement for CAADP Implementation

2.4 AU-CAADP Business Plan Delivery/Coordination Model

Guiding Principles

The work of AU entities identified in this Business Plan is guided by five principles (which are also consistent with the CAADP and AUC Strategic Plan principles):

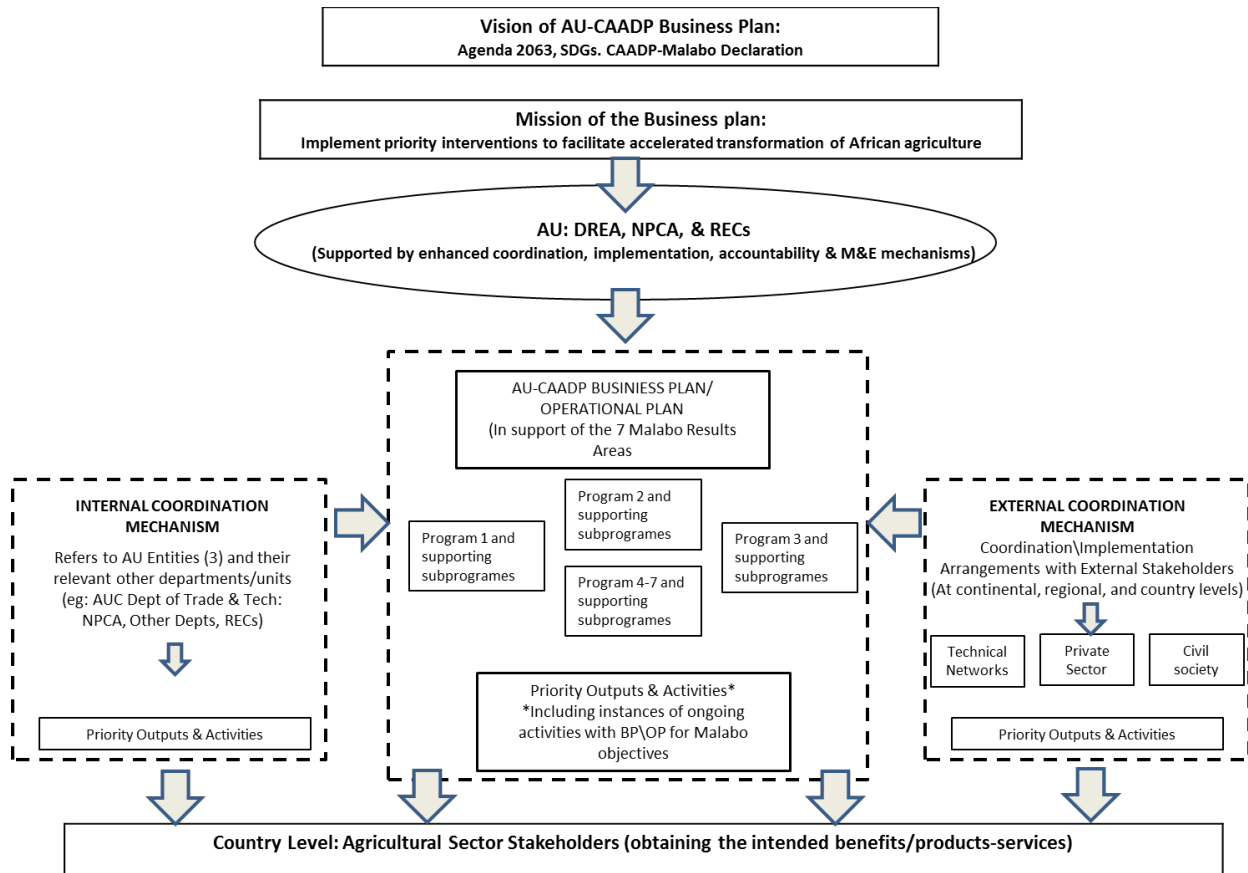
- Respect and strengthen subsidiarity, especially in supporting member states who have the main responsibility to deliver on the Malabo commitments.
- Play a catalytic, complementary, and empowering role, working as a team, in line with support mandates (see [Annex 3](#) for a summary of the AU entities mandates).
- Emphasize a performance-based and accountability orientation within the AU entities.
- Foster partnerships and alliances with stakeholders, especially technical networks, within and outside the AU umbrella.
- Build on existing/ongoing initiatives, and realign them in accordance with the Results Framework as needed (hence, the importance of the mapping exercise, detailed in the OP).

To maximize impact, the-AU entities will collaborate closely with supportive donor governments and multilateral development agencies, and will build on relevant AU entity experiences and existing initiatives involving direct collaboration with private sector and with civil society organizations (CSOs).¹⁰ The AU entities also will promote the use of PPPs where they can

¹⁰ For example: Private sector: The New Alliance for Food Security and Nutrition (NAFSN), Grow Africa/GA partnership jointly with World Economic Forum; Civil Society: the CNC), NEPAD-NGO Alliance on Climate Smart Agriculture).

strongly increase access to financial resources and technical expertise. None of this will take the place of proactively mobilizing domestic resources and fostering strong linkages with smallholders along the value chain, including active participation of women and youth. Figure 3 illustrates the roles of the key actors including internal technical teams; partnerships, especially the technical networks and technical partners; expertise from other relevant programmes; and REC-level and country-level delivery roles and models (see Annex 2 of the OP for further details on specific institutional roles). The intent is to provide both a bottom-up and top-down approach to the delivery, to ensure balanced coherence and responsiveness.

Figure 3: AU CAADP-Malabo Delivery Model



SECTION 3: ORGANIZATIONAL STRUCTURE AND FUNCTIONS FOR IMPLEMENTING THE CAADP-MALABO DELIVERY MODEL

3.1 Organizational Structure/Arrangements/Functions of AU-CAADP: Principles and Rationale for Enhancements/Restructuring

How the AU entities are structured and what functions each perform is a critical factor in achieving the objectives of the BP and the broader goals and targets of the Malabo Declaration. Organizational strengthening is necessary as is made clear by the ongoing AU comprehensive review and reform of its structure—AUC, NPCA and RECs—including their linkages and complementarities. A restructuring report on the AUC was formulated in 2015 and presented to and endorsed by the AUC Executive Committee (early 2016). [Annex 5](#) shows AUC-DREA's current and proposed organizational structure, including the six specialized technical agencies, mapped under AUC-DREA. Following the recently completed AU Summit (end-January, 2016), it is expected that there will be some follow-up restructuring of the AU organs in order to enhance their efficiency and effectiveness, and stronger accountabilities to achieve strategic results. Consequently, there may be some adjustments to the proposed organizational/staffing structure of the AU bodies, with possible implications for this BP and its supporting OP. In any case, the BP and OP will position DREA to make the needed organizational adjustments, while helping to ensure the achievement of the CAADP-Malabo commitments.

In early 2016, NPCA management carried out a restructuring following an internal organizational development exercise. The restructuring aimed to increase effectiveness and accelerate delivery of results, based on three driving principles: (1) Setting standards and expectations; (2) Enhancing governance; and (3) Promoting efficient delivery of NPCA's services, through strengthened oversight and sound management of a portfolio of projects. NPCA's projects were organized according to four major strategic investment programs, driven and prioritized by NPCA's overarching business strategy (see [Annex 5](#) for details). NPCA's CAADP Implementation Support unit is part of the Natural Resources Governance Programme. The CAADP unit is coordinating technical staff from other units in NPCA to support implementation of the CAADP agenda. The CAADP unit is collaborating closely with the AUC-DREA team, and will endeavor to ensure the NPCA-supported projects/initiatives are strongly aligned with the CAADP-Malabo BP. The AU's ongoing restructuring exercise following the AU Summit in early 2017 might lead to further adjustments to NPCA's role, structure and staffing levels. Accordingly, it will be important to ensure harmonization of any restructuring of AUC-DREA and the NPCA CAADP coordination unit to ensure complementary roles and teamwork.

The AU team that prepared the Business Plan carried out a SWOT assessment of AUC-DREA, NPCA/CAADP Unit and the RECs. [Annex 6](#) provides the summary results, including the implications of this assessment for the effective implementation of this BP and its supporting Operational Plan. The relevant findings of this SWOT assessment are integrated in this BP and supporting OP.

3.2 Staffing Strategy, Requirements/Rationale and Performance Contracts

Implementing the programmes and supporting subprogrammes outlined above will require a highly qualified managerial and technical team with strong expertise and skills in catalyzing,

coordinating and facilitation, with a strong results-orientation. The AU plays a key role in engaging other organizations and specialists, including the technical networks and technical partners, that will support program design, delivery and evaluation for member states. Funding constraints dictate that the CAADP AU team (from AUC, NPCA, RECs) will need to include the participation of all technical staff, including regular, seconded and contractual experts. To play their part in delivering effectively on the CAADP-Malabo commitments and identified outputs (in the RF), it will be important for the AU entities to ensure all of its technical experts (comprised of these three categories, including the relevant technical staff from DREA's six specialized offices¹¹) assigned to the agricultural sector assume an active role and responsibility in supporting the priority activities. It will be important that the annual budgetary planning and work plan exercise for the AU entities reflect their specific roles and results. Based on available information of technical staff in these three AU entities and the requirements to implement the BP and supporting OP, there will be a need for a modest increase in technical staff, including:

- Two technical advisors in AUC-DREA to coordinate and catalyze strategic themes/SPs (e.g., knowledge management and dissemination; and Internal M&E);¹²
- Twelve programme officers to be assigned to the 8 RECs, given their current understaffing and expanded role;¹³ and
- Three technical officers (i.e., nutrition; inputs/mechanization; and M&E) to strengthen NPCA's CAADP Unit, in addition to this Unit being able to deploy existing technical staff within NPCA to support/catalyze the implementation of the SPs.

In addition, it will be important to ensure the contract extensions (to about 2021) of the nine CAADP technical advisors who are currently seconded to AUC-DREA (with DP funding). This extension will help ensure continuity in catalyzing the effective implementation of the BP/OP, and therefore, will help ensure achievement of the expected results.

The reasons for the required active engagement of current technical staff (in AUC-DREA and NPCA) and the modest increase in technical staffing of the AU entities is that they are understaffed for carrying out the ambitious and tightly time-bound transformational agenda/targets of CAADP-Malabo commitments. In addition, implementing the BP/OP will entail the AU entities catalyzing and leveraging other technical experts and institutions, especially technical networks and technical partners. Moreover, the AU entities will strengthen team management and accountability mechanisms for better delivery of support to member states, focusing on performance metrics and teamwork. The delivery model outlined above will ensure

¹¹ For example, with respect to DREA's six specialized offices, it will be important to ensure one "focal technical professional" in each office who will serve as an operational link in supporting the implementation of the BP, including facilitating the engagement of other technical officers as needed and participating in the relevant meetings and reviews of the BP/OP. During the preparation of this BP/OP, such focal persons were designated and provided constructive inputs.

¹² It is noted that this increase would comprise a small proportion (about 1% of AUC-DREA's current staffing levels, including its six specialized agencies).

¹³ It is proposed that initially these programme officers will be funded from the CAADP-Malabo program budget (to be established/mobilized), and whereby each REC progressively (over 3-5 years) will assume their funding as part of their regular budget. The eight RECs have an estimated 18 professional staff focused on the agricultural sector (or about 1-3 professional experts per REC, varying according to size of the REC).

the most efficient approach of working together and mobilizing required resources inside and outside the AU organizational structures (see [Annex 5](#) for further details).

To reinforce a results-orientation within the AU-CAADP team, DREA and NPCA management will introduce and enforce, with external expert support, a system of performance contracts system for each AU-CAADP team member.

3.3 Key Implementation Actors and Mechanisms: RECs and Technical Networks

Another vital aspect in the implementation of the BP is the expanded role of the RECs and technical networks. The OP outlines in detail the scope of the expanded role of the RECs, especially with respect to facilitating engagement with member states and supporting programmes critical to meeting the Malabo commitments. As stated above, to strengthen the RECs' capacity, this BP seeks to fund about 12 agriculture programme officers —professionals with strong and broad-based technical and coordination skills—to work with and support the existing REC agricultural teams. These agriculture programme officers will have an important “change agent” mandate, to help catalyze needed changes/actions at the member state level. The RECs have a very heavy workload, and their current staffing levels are inadequate to fulfill adequately the catalytic role they need to play. Working increasingly through the RECs is consistent with CAADP's long-standing subsidiarity principle. It is proposed that each REC assume the funding of the agricultural officer(s), after a 2-3 year period.

The technical networks (TNs) will play an important role in the development, implementation, and monitoring and evaluation of CAADP programmes. Each of the seven programmes has a technical network comprised of organizations and experts with expertise to advise and support country programmes aimed at achieving the goals and targets of the CAADP-Malabo Declaration. To deploy the TNs effectively, organizers will have to establish a process to inform countries about the services TNs can provide and how countries can access the TNs for assistance. Coordinating and facilitating the appropriate and timely deployment of the TNs to member states will be one of the CAADP-AU entities priority roles and actions.

Section 4: Resource Requirements and Financing Strategy

4.1 Indicative Resource Requirements: A Programme and Results Approach

The funding required for the AU to support delivery of the CAADP–Malabo commitments for the four-year period from 2017 to 2021 is approximately US \$ 103.7 Million (or about US\$20 M per year).

Table 2 shows the summary costs by the two major components of the budget: Part I: “Core”/Technical Team Costs; and Part II: Programme/Subprogramme support delivery costs. The 40/60 distribution of costs between “Core” and “Programme” costs masks the reality that the “Core”/Technical Team costs are directly catalyzing the effective delivery of the thirty six subprogrammes and their priority activities which will help generate the required outputs, outcomes and impacts, in line with the result chain underlying the RF. The focus of the DREA and NPCA “Core” and Technical Team members, including the seconded technical experts, will be to catalyze the required actions by the member states to generate the results outlined in the Results Framework and work plans (see the Operational Plan for further details).

Table 2: Summary Table of Resource Requirements/Costs for Delivery of the CAADP-Malabo Commitments

INDICATIVE COSTS (\$000S)						
	2017	2018	2019	2020	2021	TOTAL
PART I: "CORE" COSTS (DREA +NPCA)	8357	9675.2	9675.2	9347.2	4020.4	41075
PART II: PROGRAMMES						
P1: Supporting Country and Regional Systems for CAADP Program Delivery	2384	2123.3	1036.9	815.1	740.6	7099.9
P2 Expanded Public and Private Investments	2565	2353.5	974.8	800.5	211.3	6905.1
P 3: Increased Agricultural Productivity and Strengthened Nutrition and Food Security	3597.8	2616.2	1340.6	928	549.2	9031.8
P4: Inclusive and Sustainable Agricultural Production and Expanded and Competitive Private Sector/Agro-Industry Development	1765.7	2576.2	2436.9	2054.8	1013.8	9847.4
P 5: Expanded Intra-African trade in Agriculture	2094.8	1808.3	1870.8	1833.3	855.9	8463.1
P 6: Enhanced Resilience Building, and Climate Change and Risk Management	2893.95	1690	1280.5	1023	155.8	7043.25
P 7: Strengthened Knowledge Management, Program Coordination and Partnership, Policy Engagement, and Mutual Accountability	5160.2	3833.8	2220	1752.8	1236.1	14202.9
PART II Total	20461.45	17001.3	11160.5	9207.5	4762.7	62593.45
Total PART I & II	28818.45	26676.5	20835.7	18554.7	8783.1	103668.5

The catalytic coordination and facilitation roles across each programme and subprogramme will be similar and may often take place in the same venue and through the same platforms (e.g. Biennial Reviews, Joint Sector Reviews (JSRs), CAADP Partnership Platform meetings). At the same time, there will be specific platforms/mechanisms for many of the specific subprogrammes to ensure relevance and adequate coordination. Accordingly, it is important to ensure clarity amongst various stakeholders of the roles and responsibilities within each of the programmes and subprogrammes, while recognizing that some of these roles/responsibilities will evolve (e.g., shifting responsibilities from AUC-DREA to NPCA and RECs, in accordance with their

mandates and increased capacities. This helps to pinpoint accountability and ensure adequate coverage and as well as to secure the required subject matter expertise (e.g., technical networks), as well as facilitation, coordination and M&E expertise for delivery of the Malabo commitments.

The modest increase in technical staff by the AU entities will need to be filled by medium-term (M-T) consultants since there are substantial AU organizational-budget related constraints to adding “core/regular” staff positions. All staff – “Core” and M-T experts—will be integrated to the extent possible into the existing and proposed organizational structure and work plans, or whatever will be the final version of the AU organizational structure, in the light of the restructuring process triggered at the AU Summit in January 2017. This approach will help ensure all human and financial resources of the AU entities will be working together in catalyzing effective and timely delivery of the CAADP-Malabo commitments. The breakdown of funds allocated to the AU entities will be determined by the designated roles specified in the RF (i.e., “responsible institution”). The “responsible institution” (generally AUC-DREA or NPCA) will manage and allocate the budget to and coordinate with other key actors (e.g. RECs, technical networks) without losing sight of the need for the AU-CAADP teams to collaborate closely through annual joint work plans, joint monthly reports and joint mid-year reviews. This will enable AU management to ensure full coverage and avoid duplication, or worse, the possibility that programs/subprogrammes and entities might be working at cross-purposes and/or in “silos”.

4.2 Financing Gap and Framework Financing Strategy: 2017 – 2021

Based on available information, it is estimated that the AU entities have mobilized (assured or committed) about US\$42 M—about \$21 M from the AU (mostly to cover core costs) and another US\$ 21 M from DPs. This leaves an indicative funding gap of about US\$62 M, or 60% of total estimated requirements. This gap highlights two conclusions: first, that the AU entities must prioritize what must be carried out with the available budget; and second, the importance of immediately mounting and carrying out a resource mobilization strategy that is realistic, manageable and prioritized.

An unattractive scenario is to scale back the proposed support outputs/services and/or delay the BP budget, which would jeopardize the AU’s capacity to carry out essential activities outlined in this BP. This scenario would pose a major risk of not delivering on some (or many) of the CAADP-Malabo commitments. Given uncertainty in funding, priority funding will be given to Programmes 1 and 7, which represent unique and priority roles for the AU-CAADP entities, which only they can perform given their continental mandates/roles. Ultimately, the core resources needed to enable the carrying out of the basic roles and responsibilities of AU entities should be sourced internally, from the AU itself. The AU also needs to reduce dependence on development partners by broadening the sources/partners (see below). To this end, the AU-DREA will formulate and launch a joint resource mobilization strategy exercise to be launched in early 2017. Table 3 illustrates the broad lines of a financing strategy over the period 2017 to 2021; this scenario aims to diversify the sources, with an increased share to be covered by the AU entities by 2021. The mobilization strategy will need to work out the actual sources and amounts.

Table 3: Indicative Financing Strategy/Plan (Funding Source as % of Total Funds Required)

Financing Sources	2017	2021
1) Domestic/Africa	20	40
a) AU (AUC+NPCA) and RECs	20	30
b) Member States (various options, including cost-sharing)	0	5
c) South-South Cooperation (emerging middle income countries, e.g. S. Africa)	0	5
2) Devt. Partners (and various options as mechanisms)	75	50
a) Sector Budget Support/Programme approach (e.g., CAADP-Malabo Joint Programme Agreement)	15	30
b) Earmarked Funds (for specific subprogrammes, aligned with RF)	15	10
c) Project support (and aligned to the BP RF)	45	10
3) Private Sector (as part of corporate responsibility)	5	10
a) African Corporations (and their foundations)	0	3
b) International Foundations & NGOs	5	7
TOTAL	100	100

The section below outlines an initial framework financing strategy to guide the forthcoming resource mobilization exercise, based on the following principles:

- Use of a Joint Partnership Agreement (JPA), which is a funding mechanism successfully developed and used by various departments of AUC, following the Paris Declaration (2005). This tool promotes the alignment, harmonization and streamlining of funds in one “programme” basket by DPs who are committed to supporting a common programme. Many of the operational principles are similar to the CAADP MDTF; see [Annex 8](#) for an illustrative template of the JPA, which would be customized for the requirements of the CAADP-Malabo Programme.
- Focus on partnerships for joint achievements, taking a more programmatic approach to funding, and using various funding modalities (e.g. pooled funding, aligned project funding). This will help ensure strong alignment with the strategic outcomes, whether supported via a project and/or programmatic approach.
- Use of robust and transparent processes for staff recruitment/retention/development, finances and procurement.
- Establish rigorous and good practice accountability processes and mechanisms.
- Emphasize clear and regular reporting mechanisms and outputs.

The financing strategy for the CAADP-Malabo BP considers the following major indicative sources and approaches:

Domestic/Africa Resource Mobilization

(i) AU Core Budget: To implement this BP and the goals of the Malabo Declaration, the AUC needs to dedicate more core funding. The AUC needs to put in place a resource mobilization plan that will gradually increase the percentage of the BP that is covered by its “own funds.” Whether the AU-CAADP team can achieve this will be determined in part by how well they can advocate for the importance of the BP. Much of the funding for the AU entities will be for “core” staff, and operational services and facilities, such as office space, office supplies and equipment, and other administrative support and services. The AUC will need to cover an increasing share of both “core” and M-T technical experts as the Business Plan period progresses. These experts currently are being funded by several development partners. In addition, RECs should begin to contribute some of their resources to the implementation of the Business Plan, which should be focused on “domesticating” at regional and country levels key elements of the CAADP-Malabo commitments. The institutional responsibilities outlined in the Results Framework portray this expanded role of RECs and technical networks to support country level implementation. Accordingly, the AU entities, facilitated by this Business Plan and supporting OP, will prioritize their activities to ensure they contribute to the strategic outcomes and outputs outlined in the RF.

(ii) Member States Resources: The push to allocate 10% of national budgets to agriculture is a key input target for Malabo Declaration (2014) as it was for Maputo Declaration (2002). How the increased budget for agriculture is used to generate tangible results is as important as actually having the additional funding. Member states should take an active role in mobilizing resources—initially from their own national budgets—to fund transformational priority programs, in line with the CAADP-Malabo commitments. Governments also need to create favorable policy environments and incentive structures to attract other sources of funding to complement government resources. Apart from advocating for increased direct government statutory budgetary allocation, AU-CAADP entities can help governments design their own strategies for mobilizing domestic resources from the private sector and corporations. Another area is setting up or strengthening agriculture coordination structures at country level and/or agricultural sector working groups (ASWGs) which enable government to work closely with development partners and other stakeholders in channeling resources into priority programs and geographic areas that can drive agricultural transformation at the country level. As part of this Business Plan, AU entities will strengthen the relevant aspects of the institutional architecture that has been established and is continuing to be strengthened to help generate concrete results, in line with this BP/OP.

(iii) Emerging African Economies: There is an emerging group of African middle-income countries that potentially can co-fund development projects and/or programmes, both in their own countries and in other countries, bilaterally or through South-South Cooperation initiatives. More effort needs to be mobilized with such countries. AU entities will take a more proactive role in mobilizing their support, guided by the AU’s CAADP-Malabo Declaration resource mobilization strategy, in order to accelerate funding from emerging African economies.

External Sources

(i) Development Partners (DPs): The CAADP-Malabo team (comprised of the three levels) will need to present compelling plans for achieving the CAADP-Malabo goals/targets. These will need to intersect well and resonate with development partner views of what is needed. The CAADP-AU team will need to present convincing evidence that the funding sought for this BP has a good chance of achieving the envisioned results, especially at the impact and outcome levels. The CAADP-AU team will need to deepen relationships with current funding partners,

and attract new multilateral and bilateral institutions and agencies who are interested in supporting the CAADP-Malabo Commitments and Africa's agricultural development agenda.

Over the past ten years, the following DPs have supported the operations of the work of the AU entities for supporting the CAADP agenda in the past ten years: Canadian International Development Agency (CIDA), the United Kingdom's Department for International Development (DFID), Sweden (SIDA), United States Agency for International Development (USAID), the European Union (EU), World Bank (WB) and the Bill and Melinda Gates Foundation (BMGF). Their continued support will be critical, especially in the short to medium term. Potential partners like the African Development Bank (AfDB) and EU have shown interest in continuing their support to AUC-DREA in advancing Africa's trade agenda and addressing the challenge of climate in the continent, which form important elements of the Malabo commitments. Some DPs are assessing their approaches to supporting the continued implementation of the CAADP-Malabo commitments.¹⁴ The programmatic/pooling approach to funding the CAADP BP/OP could involve the establishment of a Joint Partnership Arrangement (JPA), or a CAADP-Malabo Trust Fund (CMTF), with its funding partners; the JPA/CMTF would align partners' funding to CAADP-AU actors, and provide a platform to discuss a common approach for monitoring and reporting on programme implementation, and to help make adjustments. The JPA/CMTF would build on the relevant lessons from the MDTF.

(ii) Private Sector: The AU entities, coordinated by the AUC-DREA, need to engage African private sector and private foundations to support Africa's agriculture transformation agenda. The AU will be responsible for finding and sharing successful practices for attracting and expanding private sector funding. The "sales pitch" needs to emphasize the tangible improvements in the policy and regulatory environment and the "real" potential financial returns to individual companies and foundations in investing in the agricultural sector. To this end, the AU entities can generate evidenced-based analyses that can highlight and attribute financial returns to agriculture investment and development impact and analyses that can attest to improvements in the business environment. The AU entities can also formulate resource-pooling strategies and demonstrate potential value-added for increasing responsible private sector investments. Most importantly, AU entities will need to be able to convince funders that the CAADP-AU team will use resources efficiently and effectively and that a results focus will drive programmatic priorities, a strong emphasis on implementation and accountability. The CAADP-AU entities, with support from their respective resource mobilization team, can collaborate with national, regional and global development finance institutions (DFIs) to pool resources (and other mechanisms) for supporting some of the programmatic interventions outlined in the RF and BP.

(iii) South-South Cooperation: With some African economies moving into the ranks of middle income status, there will be more countries able to provide South-South support. It is useful to explore the prospects, approaches, and groundwork to fostering this kind of engagement (e.g., the relationship between Brazil and Mozambique fostered by USAID).

¹⁴ For example, various DPs have funded the Multi-Donor Trust Fund (MDTF) to support CAADP implementation. In 2016, the MDTF closed. The Evaluation Report of the MDTF provides important findings and lessons for the resource mobilization strategy.

Section 5: Strategic Partnerships and Communication

5.1 Enhanced Partnership Architecture

The AU-CAADP bodies increasingly recognize that partnerships based on comparative advantage and pooling of resources according to a prioritized programmatic approach are critical to achieving Africa's agricultural transformation and development agenda. These principles are reinforced by recent CAADP evaluation assessments and lessons learned. The AU-CAADP bodies will strengthen their partnerships with a wide spectrum of African and international partners. Strengthening partnerships with Africa's development partners and other stakeholders will help mobilize resources, ensure coherence and generate impact. A comprehensive review of the CAADP partnership architecture conducted in 2016 provides a valuable guide for the partnership strategy outlined in this BP.¹⁵ The partnership strategies include close engagement with and guidance from the following continental platforms/stakeholders: CAADP Partnership Platform; CAADP DPTT/DPCG; CAADP Business Meetings; and CAADP Development Partners Task Team. The AU-CAADP team will strengthen these partnership arrangements, focusing on the combination of actions needed to achieve the goals of the BP.

5.2 Collaborating and Technical Partners

The AU-CAADP bodies will strengthen their strategic and operational partnerships at the continental, regional, and national levels, and work with other stakeholders and agriculture-related institutions in the delivery of the CAADP Malabo programmes. They will target closer collaboration with the AfDB, Economic Commission for Africa (ECA), Food and Agriculture Organization of the United Nations (FAO), World Bank, USAID, International Food Policy Research Institute (IFPRI), International Fund for Agricultural Development (IFAD), African Trade Policy Centre (ATPC), African Climate Policy Centre (ACPC), Alliance for a Green Revolution in Africa (AGRA) and other organizations active in agriculture and development. The partnership strategy includes collaboration with other departments within the AUC (e.g. Economic Affairs, HR, Science and Technology, Social Affairs, Trade and Industry, Infrastructure). The AU-CAADP team will leverage the work of the Partnership Division in the Office of the Chairperson for Partnership and Resource Mobilization Support. The AU-CAADP bodies will work closely with continental agricultural-specialized institutions for implementation, monitoring, and impact evaluation.¹⁶

5.3 Funding Partners

AU-CAADP entities will mobilize resources from an array of traditional and non-traditional funding partners. Funding partners can make direct arrangements with the relevant AU-CAADP bodies about financial contributions. The mechanisms for these funds and the conditions for

¹⁵ See *CAADP Partnership Architecture Review: Reforming and Strengthening Partnerships to Work for CAADP Implementation and Africa's Agriculture* (Africa Centre for Institutional Development, Draft Final Report, February 2016). The assessment included a stakeholder survey and a SWOT assessment of the current partnership architecture.

¹⁶ These entities include IFPRI/ReSAKSS, AGRA, the newly established technical networks, donor-funded projects, and the six specialized and semi-autonomous agencies that form a part of AUC-DREA: IBAR, CTTBD, IAPSC, PACA, PATTEC, and SAFGRAD.

their release will be in line with AU standard practices and procedures and the previously mentioned Joint Programme Agreement (JPA), which would include a common framework of engagement. The AU-CAADP entities will provide accountability for results and value-for-money during the annual business meetings held in conjunction with CAADP Partnership Platform meetings.

5.4 Universities, Research Institutes, Private Sector, Foundations and Civil Society Organizations

As part of its commitment to creating and managing knowledge on the continent, the AU-CAADP team will partner with African universities, research institutions, think tanks, as well as civil society organizations/non-state actors (CSOs/NSAs) to conduct basic, applied, and policy-relevant research as well as training. These groups will form a part of the CAADP-Malabo technical networks and can complement and reinforce the work of the AU-CAADP team, particularly in the area of research, capacity development, knowledge management, and advocacy. Some of this collaboration will come through engagement with the technical networks. Partnership with CSOs/NSAs will revolve around policy analysis, consensus building and advocacy.

5.5 Strategic Communication

One cannot overstate the importance of strategic communication for a Programme with numerous and diverse actors. Given the comprehensive nature of the CAADP-Malabo commitments in supporting an agricultural transformation initiative, efficient, effective, timely and well-targeted communications are critical.

The AU-CAADP team will invest in a strengthened strategic communication strategy aimed at improving the flow of information within the AU-CAADP entities as well as between them and other participants in the CAADP-Malabo process. The strategy will help improve understanding of who is doing what and where, by mapping Africa's agricultural development landscape of initiatives. It will help to identify strategic entry points for policy engagement. It will help articulate CAADP Malabo policy messages that will inform and influence national, regional and global agricultural transformation deliberations and agreements. The strategic communications strategy will: develop and promote the CAADP-Malabo mission and vision, and make the programme the partner of first choice for support; and powerfully articulate the value of expanded partnerships by deepening understanding of the CAADP-Malabo agricultural transformation agenda. Finally, the strategic communications effort will improve the flow of information across the three levels of CAADP-Malabo programme implementation to expedite achievement of results, with respect to continental, regional and national levels/stakeholders.

Section 6: Implementation Strategy/Arrangements, Accountability and Monitoring And Evaluation

6.1 Coordination/Implementation Strategy, Arrangements and Mechanisms

The Results Framework for this Business Plan will serve as the roadmap and tool for guiding and adjusting/updating the implementation strategy. This will help sharpen priorities and coordinate activities (see Part 2.4). The RF reinforces a team approach to generating the

strategic results for each of the subprogrammes, involving AUC-DREA, NPCA and RECs, through enhanced planning and implementation processes (e.g. joint annual planning meetings to compare and align operational work plans, mid-year review meetings, critical reflection and follow up on the biennial reports, and periodic partnership platforms).

AU-CAADP leadership will install and strengthen coordination structures and mechanisms. Some of these will include enhancements to and effective use of the CAADP working group; AUC-NPCA-REC-CAADP Focal Point Meetings; the annual Permanent Secretary (PS) Leadership Meeting; joint CAADP Implementation Review Business Meeting; CAADP Development Partner Coordination Group (DPCG); and the CAADP Partnership Platform.

6.2 Accountability Arrangements and Mechanisms

The AU-CAADP will manage the work under this BP for results outlined in the Results Framework. Those expected results would be spelled out in detail in the Operational Plan, including a prioritized work plan with a focus on 2017 and 2018, to ensure delivery of the CAADP-Malabo commitments. AU-CAADP will establish accountability systems in line with the principles of results-based management (RBM). Enhanced M&E will be central to CAADP-Malabo programme delivery. This will be reinforced by the enhanced M&E systems expected from the forthcoming AU restructuring exercise. Concurrently, DREA and NPCA will synchronize and coordinate their M&E systems to ensure regular and complementary tracking and monitoring of progress of the CAADP-Malabo commitments at the continental, regional and national levels. Key constraints will be constantly monitored and identified, while lessons will be systematically identified and applied. The AU-CAADP team will prepare joint annual reports focused on outputs and outcomes achieved, using objectively verifiable indicators (as outlined in the RF and Work Plan contained in the Operational Plan).

A separate budget line is allocated to monitoring and evaluation, including M&E/statistical specialists. These improved systems and capacities will be used to collect necessary data related to performance indicators and to pay for the services and travel of independent evaluators. To this end, a comprehensive Results Framework has been prepared to support the BP and Operational Plan, which outline the relevant outputs, outcomes, performance indicators, and data required for verification. These results will be incorporated into a comprehensive and operational M&E framework to be operationalized for the CAADP-Malabo commitments in the first year of this strategic plan. The M&E systems for AUC-DREA and NPCA will be harmonized and complementary, and will be consistent with common indicators used in the CAADP-Malabo Biennial Reporting System and Joint Sector review processes.

6.3 Monitoring and Evaluation: Tools for Facilitating Results and Accountability

The AU-CAADP team will use and strengthen existing AUC-NPCA guidelines to monitor implementation. These include:

- Measurement against indicators in the RF (see Annex 2 of the Operational Plan).
- Annual financial reports to the relevant AUC/NPCA body.
- Annual Results Area progress reports that include use of funds, to the relevant entity.
- “Traffic light” reports, highlighting relevant risks to achieving the objectives, which will be submitted to the management of AU-CAADP bodies.

- Multi-stakeholder feedback surveys, focusing on priority topics, to be carried out on annual basis (and to be used as an input in the annual planning cycle).

Two main evaluations will be undertaken during the four-year period of this BP: (1) A mid-term external evaluation at the end of Year Two (2018), with a focus on how the Malabo programme is progressing vis-a-vis its Results Framework; and (2) An external evaluation after Year Five, with a focus on outcomes. The evaluations will be mandatory and conducted by external independent evaluators using the African Union Commission's guidelines. They will be considered AU-driven, and presented to the Assembly of the African Heads of State and Governments. There should also be regular (annual) internal self-evaluations and performance reviews of the core staff and M-T experts.

Section 7: Main Risks and Risk Management Strategy/ Mitigation Actions

There are six priority risks that if not attended to and mitigated could hamper implementation of this Business Plan and the Operational Plan and, thereby, impede timely and quality achievement of the CAADP-Malabo goals. This risk assessment provides the basis for identifying risk mitigation measures to be carried out during implementation. The AU-CAADP team regularly assesses the risks as part of the annual review of the CAADP-Malabo BP. These risks and their mitigation measures are summarized below. With effective implementation of these measures, the risk rating becomes “low to medium”. [Annex 9](#) provides further details.

Risk 1: Uneven Commitment

Uneven and inconsistent commitment by governmental actors (AUC, NPCA, RECs, Member States). The level of commitment will vary according to key actor.

Mitigation Measures

- Ensure meaningful consultation meetings with relevant key stakeholders to seek consensus on/endorsement of the BP.
- Sign a Memorandum-of-Understanding (MOU) between AUC-DREA/ NPCA and AUC management and RECs to enlist commitment to support implementation of the BP and supporting OP.
- Ensure well focused reporting of progress/results and strong alignment of the BP with the current and updated strategic plans of the AUC, NPCA and the RECs, and make relevant adjustments/updates.

Risk 2: Inadequate and Utilization of Resources

This risk involves Insufficient human and financial resources and their effective utilization by the AU entities (AUC-DREA, NPCA/CAADP and REC) to meet the requirements of overall leadership, coordination and implementation support of the BP and supporting OP. The BP and OP require a modest increase in highly qualified technical staff for DREA, NPCA and RECs, whom also would need to work as a team, in order to effectively coordinate strategic activities and achieve the CAADP-Malabo commitments.

Mitigation Measures

- Seek early and strong consensus and approval of the BP and supporting Operational Plan, especially the proposed results as outlined in the RF for the CAADP-Malabo commitments, and to secure on a timely basis the required human and financial resources required to implement the BP and supporting OP, at various levels. This includes carrying out expeditiously and successfully the resource mobilization strategy;
- Expedite the recruitment of the required and suitably qualified core staff and M-T consultants; include a performance contract in the contracts of existing and new “core” staff/M-T consultants in AUC-DREA and NPCA/CAADP, to help ensure effective delivery of key outputs, aligned with the RF for CAADP-Malabo implementation;

- Expand the role and capacities of the recently established technical networks, to provide quality and timely technical inputs and support in the delivery of key outputs by subprogramme;
- Build and strengthen partnerships with relevant agriculture-related capacity and research institutions, and technical partners; use of short-term consultants/experts to augment the “core” staff and M-T consultants of DREA, NPCA and RECs; and
- AUC-DREA and NPCA/CAADP, with support from the AUC and NPCA resource mobilization teams, to arrange and formulate a unified resource mobilization strategy and action plan for mobilizing funding to close the funding gap; for implementing the BP and supporting the OP, based on various funding sources (current and new).

Risk 3: Uncertain Development Partner Support

With the ending of the Multi-Donor Trust Fund that supported CAADP processes, AU entities are unsure about the scope and level of development partner support. Lack of or untimely provision of donor resources to implement the programme/subprogramme activities will limit what can be achieved, and must be kept in mind when considering this Business Plan and its supporting Operational Plan.

Mitigation Measures

- DPs agree to a Joint Programme Agreement (JPA) financial/partnership arrangement to support the BP for CAADP-Malabo implementation.
- Emphasizing programme-based funding, with aligned project support as second best modality.
- Use findings of the forthcoming BP resource mobilization strategy (by March 2017) and action plan as a roadmap to securing the needed funding, including from DPs and other CAADP-expanded partnerships.

Risk 4: Capacity Constraints for Field Implementation

In most RECs and countries, there are inadequate numbers of technical staff with the competencies needed to design, implement and monitor the actions needed to generate the outputs outlined in the BP/OP. When staff members develop expertise, it is often difficult to retain them, in the light of their enhanced marketability.

Mitigation Measures

- Carry out the capacity development action plans outlined in the RF/Operational Plan for CAADP-Malabo implementation, and for each of the subprogrammes; this involves formulating and delivering high quality and practical training modules, targeted to enhance the capacities of key actors at the REC and especially country levels.
- Ensure adequate funding and implementation of the capacity development action plans, as outlined in the RF, involving most of the programmes/subprogrammes.
- Encourage countries, especially the Ministries of Agriculture (via the PSs) to provide sustainable enhanced incentives to key staff who are taking a leading role in implementing the CAADP-Malabo Declaration commitments. Similar incentives need to be fostered at the

REC level, including the posting of experienced agricultural programme officers in each of the RECs to ensure a strong focus and capacities on implementing the BP/OP agenda.

Risk 5: Variable Role and Capacity of Private Sector

Many of the CAADP-Malabo Commitments require an expanded role of an inclusive and strengthened private sector in catalyzing agricultural transformation. Currently, the size and capacity of the private sector is generally weak, and at best, variable among countries (and within a country). This scenario can jeopardize the achievement of many of the CAADP-Malabo Commitments in a sustainable manner.

Mitigation Measures

- There is a need to provide high priority to enhancing the policy and regulatory “environment”, to be “pro-private” sector, for attracting increased and inclusive investments by both domestic and foreign entrepreneurs.
- Expand access to finance for an expanded and inclusive private sector.
- Foster and strengthen public-private partnerships in strategic activities that can be viable and sustainable.

Risk 6: Weak M&E

Monitoring and evaluation and evidenced-based and timely reporting on implementation of CAADP programmes/projects, their outcomes and impact has been relatively weak, uneven, and delayed. This reflects generally weak M&E systems at the three levels —continental, regional and national.

Mitigation Measures

- Make it a high priority to strengthen M&E systems, including data sources at the three levels, and to track CAADP implementation reporting to enhance the quality of upcoming biennial reports and enhanced decision-making.
- Conduct a mid-term review of the AU-CAADP BP/OP (by end-2018), to ensure relevant and timely adjustments and enhancements can be made well before 2021, and as inputs to the design of the next BP (2022-2025).

Finally, this BP and its supporting OP aim to catalyze and support prioritized and results-focused actions at the continental, regional and member state level, especially those that will help deliver on the CAADP-Malabo commitments with the support of other key actors (e.g. technical networks).