



# STRATEGIC PLAN 2016 – 2020



*"Advancing Transformative Leadership for Africa  
for effective implementation of Agenda 2063"*





**APRM**

A VISION AND PLAN FOR THE FUTURE

# Strategic Plan 2016–2020



# Preface

It is with great pleasure that I present to you the APRM Strategic Plan 2016-2020.

This Plan is the first of its kind in APRM history. The decision to develop this Plan was taken as part of the revitalization exercise that was launched by the Special Session of the Heads of State and Government of APRM-participating countries in January 2016 who dedicated the entire session exclusively to the subject. It was at this session that I was officially assigned the honour to lead this unique but fledgling African initiative.

During the preparation of this Strategic Plan, we looked back to our short past; we looked into our current state; we looked toward our future; we asked difficult questions; we consulted widely with our stakeholders; we convened expert group meetings; we presented the draft at various stages to the continental and national APRM organs. The final product is a rich and detailed outline of our roadmap for the next five years.

Inside these pages, you will find our appraisal of the strengths, weaknesses, opportunities and threats of the APRM along with well-thought, concrete and practical steps that need to be taken in order to address the weaknesses, to avert the threats, to seize the opportunities and to further build on the strengths.

The key priorities for the Strategic Plan period fall under eight broad categories: (i) Shared Values Advocacy and Communication; (ii) Review and Implementation of the APRM Core Mandate; (iii) Resource Mobilisation and Financial Management; (iv) Human Resource Capacity Development; (v) Development of Monitoring & Evaluation Frameworks and Systems; (vi) Enhancement of Research & Development Capacity and Improvement of Operational Tools; (vii) Intra-APRM Coordination and Harmonisation; and (viii) APRM integration into the AU, Universal Accession, and enhanced support to Africa's regional integration agenda.

Each of these eight priority areas has been translated into detailed output targets, activities and indicators, with clear allocation of responsibilities, budgetary projections, and implementation modalities. Through the priority areas, we aim to harness the APRM and the AU shared values that underpin its operation to bring meaningful improvement to the life of the ordinary African citizen. By undertaking a review of the APRM core mandate, we intend to ensure that the APRM moves with the changing realities on the ground. By developing the research and development dimension of the APRM, we aim to transform the Mechanism to the preeminent think tank and authoritative voice on African governance in the world. Through our priority on enhanced harmonization and coordination, we commit ourselves to the creation of an APRM that is one and many at the same time; a Mechanism whose continental and national structures are seamlessly integrated, working towards the same goal in a synchronized fashion.

Our integration into the AU structures and processes as a Specialised Organ will position us at the heart of our Pan-African mother institution while still guaranteeing the functional and financial autonomy a credible review body demands and deserves. Cognizant of the ongoing transformation of the African regional integration agenda, including through the imminent establishment of the Continental Free Trade Area (CFTA), the Strategic Plan also aims to ensure the APRM plays its part for the realization of the united Africa that we all want.

I recognize that the success of this Strategic Plan, and of the APRM at large, should be measured by how close we have come to the APRM vision of full actualisation of transformative leadership and practice for the Africa we all want as envisaged in Agenda 2063. This requires active participation from all African citizens, technical competence, independence and credibility from all APRM organs, processes and outputs, and unwavering commitment and support from our political leaders. I have learnt from my experience leading this institution over the past eight months that the revitalisation exercise is still in the early stages; the real test comes from the implementation of this Strategic Plan more than from its development. At the same time, I am also confident that the best days of the APRM lie in the future. Together, we will take the APRM to new heights, and this Strategic Plan is one of the tools in our journey towards that goal.

The Strategic Plan is the product of a collaborative exercise between the APRM Secretariat as leader and all other continental and national APRM restructures. In developing this Plan, my team in Midrand was ably and generously supported by colleagues from the AU Commission and our Strategic Partners, particularly the UNECA and UNDP. Members of the APR Panel of Eminent Persons and many in our Committee of Focal Points have spent their precious time reviewing the draft Strategy Plan at different stages in its development and their inputs and guidance have enriched this document tremendously. I take this opportunity to extend my sincere gratitude to all of them.

Finally, I would like to take this opportunity to express my sincere gratitude and appreciation to H.E. Uhuru Kenyatta, President of the Republic of Kenya and Chairperson of the APR Forum, for his exemplary leadership and for steering the APRM out of the crisis it was in. Under his leadership, the APRM Strategic Plan 2016-2020 was formally approved by the APR Forum at the Summit meeting it held in Nairobi, Kenya, on 26 August 2016.

**Professor Eddy Maloka**  
**Chief Executive Officer, APRM Secretariat**  
**Midrand, South Africa September 2016**

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# Executive Summary

1. The African Peer Review Mechanism (APRM) is Africa's most innovative and ambitious initiative on governance. It was launched in 2003 as a voluntary mechanism for self- and peer-assessment of governance policies and practices by Member States of the African Union.
2. In the thirteen years since its formation, the APRM has registered significant progress, with its member states increasing from six at the beginning to 35 today. As of May 2016, twenty Member States have completed APRM Country Review Missions. However, the APRM has also faced a number of challenges in recent years, some of an institutional nature. This has led to the launching of a three-pronged strategy of revitalisation aimed at restoration, reinvigoration, and renewal of the APRM.
3. The revitalisation effort further aims to bring the APRM in line with the evolving realities on the Continent and globally. The APRM was founded at the time of transition from the Organisation of African Unity (OAU) to the African Union (AU) and at the beginning of the implementation of the Millennium Development Goals (MDGs), which since have expired. The AU is now a mature institution, with most of its organs fully operational. The Sustainable Development Goals (SDGs) have since replaced the MDGs. In addition, the AU has now developed a 50-year plan for Africa's renaissance, known as Agenda 2063. Therefore, in its revitalisation, and in order to remain relevant, the APRM has to keep abreast of these new developments and provide leadership in its areas of competence. This is the goal of the APRM's five-year Strategic Plan (2016–2020).
4. In pursuit of these aims, the APRM shall be guided by the African Union Shared Values that were endorsed by the 14th Session of the AU Assembly in January 2011. The pursuit of these values is vested in the African Governance Architecture (AGA), where the African Peer Review Mechanism has been identified as one of the key Pan-African institutions.
5. Informed by these values, the APRM has, as its core mission, the deepening of democratic practices through, inter alia, review of national policies and practices against established standards of good governance, identification of deficiencies as well as best practices, and development of tools and methods by which the deficiencies would be rectified, and the best practices disseminated and replicated across the continent. The ultimate aim of the APRM is to encourage and foster the building of transformative leadership and continuing constructive national dialogue through inclusive and participatory self- and peer-assessment processes. The work of the APRM can contribute to better service delivery by making public officials accountable to ordinary citizens, who are given a special avenue through the national review exercise to express their views on the performance of their governments in all four thematic areas.
6. In the first thirteen years of its operation, the APRM has consistently pursued the cause of transformative governance in the continent. The continental call for transformational change has resulted in the adoption of the African Union Agenda 2063, which is a combined Vision and Action Plan for the next 50 years that comprises seven aspirational goals for the Continent. Several Agenda 2063 goals are central to the mandate of the APRM, including aspirational goal three, which seeks “an Africa of good governance, democracy, respect for human rights, justice and the rule of law”.
7. At the 23rd AU Assembly of Heads of State and Government held in Malabo, Equatorial Guinea, on 24–26 June 2014, the Assembly adopted a Decision to integrate the APRM as an autonomous entity within the AU System. This Decision will catalyse the ability of the APRM to play a greater role within the African Union System. The African Union has observed that participation and inclusion of all stakeholders in the implementation and monitoring and evaluation of Agenda 2063 is one of the building blocks for the success of the Agenda. The APRM is able to make an invaluable contribution to the implementation of Agenda 2063 through its inclusive processes and capability to mobilise its vast network for input from the public and private sectors, civil society and all levels of government.

## The Strategic Plan Development Process

8. The APRM is at a turning point in its history. On 29 January 2016, the Forum, under the leadership of H.E. President Uhuru Kenyatta, held a special summit dedicated to the revitalisation of the APRM. The Forum appointed a fully-fledged CEO, the first permanent CEO in over seven years, and deliberated on the challenges of revitalisation in six key priority areas:
  - (i) Revisiting the philosophy of the APRM;
  - (ii) Revising the review methodology;
  - (iii) Ensuring compliance with APRM principles;
  - (iv) Resource Mobilisation;
  - (v) Integration of the APRM into the AU system; and
  - (vi) The role of the APRM in monitoring of AU agenda 2063 and the post-2015 sustainable development goals (SDGs).
9. The Strategic Plan 2016–2020, which is based on a three-pronged revitalisation programme for restoration, reinvigoration and renewal of the APRM, is guided by the deliberations and instructions from the Special Summit and draws further inspiration from the original vision and mission, values and guiding principles of the APRM while taking into account the new and emerging realities on the Continent, including the AU Shared Values and Agenda 2063, as well as the UN 2030 SDGs. The Strategic Plan starts with a baseline survey of where the APRM is today, its strengths and weaknesses, and identifies operational priorities, methods and implementation modalities for the next five years.
10. The development of this Strategic Plan has gone through a number of stages. First, internal working documents were prepared and debated within the APRM Secretariat. Second, those ideas were presented at the expert meeting held in Addis Ababa from 29–30 March 2016 which focused on the turnaround aspect of the strategy. Third, once a decision to develop a five-year strategic plan was taken, a detailed and more comprehensive draft Strategic Plan was presented and further refined at an internal APRM staff retreat organised specifically for this purpose and with generous help from experts from the strategic planning department of the AU Commission. Fourth, the final draft Strategic Plan was presented to the Revitalisation Committee meeting convened by Kenya from 9–10 May 2016.

The Committee considered the Strategic Plan in depth, provided detailed guidance for its further enhancement and endorsed it unanimously. Finally, a revised version of the Strategic Plan that incorporated the feedback and guidance from this Committee was presented to the 77th meeting of the APRM Panel and the special meeting of the national organs that was held in Johannesburg from 20–23 May 2016. After it went through all these processes, revisions and refinements the Strategic Plan was presented before the Committee of Focal Points and the APRM Forum at their meetings in Nairobi, Kenya, in August 2016.

## The Necessity for Revitalisation

11. As noted earlier, the Strategic Plan is based on the three pillars of the turnaround strategy as championed by the APRM CEO. The three pillars are Restoration, Reinvigoration and Renewal. The Restoration pillar focuses on addressing the immediate challenges faced by the Mechanism including:
  - (i) Development and implementation of the 2016 Work Plan;
  - (ii) Ensuring compliance with APRM principles;
  - (iii) Resource Mobilisation; and
  - (iv) Integration of the APRM into the AU system.
12. The Reinvigoration pillar consists of repositioning, re-energising and intensifying commitment to APRM's mandate. The major focus will be on repositioning the APRM, in collaboration with other institutions, as one of the mechanisms for monitoring and supporting attainment of the AU Agenda 2063 and the global 2030 Sustainable Development Goals. In the First Ten-Year Implementation Plan of Agenda 2063, the APRM is expected to contribute to the goals relating to the adoption of democratic values, practices, universal principles of human rights, justice and the rule of law, as well as the creation of capable institutions and transformational leadership.
13. The Renewal pillar includes the review, refinement and further development of APRM tools and processes, including its research and information gathering instruments for drafting the Country Self-Assessment Report. The Renewal phase will also include re-imagining the philosophy behind the APRM so as to ensure the Mechanism stays relevant in a changing world.

## Key Priorities for the Strategic Plan 2016–2020

14. The APRM has identified eight priority areas for the duration of the Strategic Plan period. These are:
  - (i) Shared Values Advocacy and Communication;
  - (ii) Review and Implementation of the APRM Core Mandate;
  - (iii) Resource Mobilisation and Financial Management;
  - (iv) Human Resource Capacity Development;
  - (v) Development of Monitoring & Evaluation Frameworks and Systems;
  - (vi) Enhancement of Research & Development Capacity and Improvement of Operational Tools;
  - (vii) Intra-APRM Coordination and Harmonisation;
  - (viii) APRM integration into the AU, Universal Accession, and enhanced support to Africa's regional integration agenda.
15. The *Shared Values Advocacy and Communication* priority area will help APRM achieve and sustain the desired level of political will and support for continuing governance reform. This priority area also aims to ensure the APRM communication strategy meets the state-of-the-art standard in the field. This can be achieved by ensuring that it evolves together with emerging challenges and trends in a dynamic and flexible manner so as to enhance the APRM brand and its international recognition.
16. Under the second priority area, to *Review and Implement the APRM Core Mandate*, the APRM will focus on ensuring that it stays relevant to the evolving governance challenges of its Member States. In the Resource Mobilisation and Financial Management priority area, the APRM will focus its efforts on building a robust machinery for broad-based and sustained resource mobilisation campaign so as to improve APRM Secretariat finances.
17. Under the *Human Resource Capacity Development* priority area, the APRM will fully staff the APRM Secretariat in order to enhance the quality of APRM Reviews. In the priority area *Development of Monitoring & Evaluation Frameworks and Systems*, the APRM will improve its capacity to follow up and report on the performance of countries after a review has been completed, and under the priority area *Enhance Research & Development Capacity and Improve Operational Tools* the Mechanism will improve its work processes and tools, including simplification of the review exercise and, in some cases, aligning the scope of the reviews to key national objectives.
18. In the *Intra-APRM Coordination and Harmonisation* area, APRM will coordinate better the work of national and continental APRM bodies so as to improve the quality of the review process and the structural relationships. Finally, under the *APRM integration into the AU and Universal Accession* priority area, the APRM aims to complete its integration into the AU family and launch a sustained and coordinated campaign to persuade all AU Member States to join the Mechanism. This effort will also involve the development of activities intended to enhance the APRM's relevance to Africa's regional economic integration agenda.
19. Finally, the APRM also aims to launch Flagship Projects to give visibility to its priority focus areas and to draw attention to shared challenges that underline the need for transformative leadership, inclusive growth, mobilisation of domestic resources, improving the performance of State-Owned Enterprises and universal accession to the Mechanism.

# Chapter I: Introduction

20. Since 1994 there has been a growing acknowledgement across Africa, and the globe at large, that governance matters – what happens internally and how governments rule, regulate and relate to their citizens is vital for peace, development, growth and prosperity.
21. With the turn of the new millennium, this led to the founding of new institutions including the African Union (AU) and its organs such as the Pan-African Parliament (PAP), the African Court of Justice and the Economic, Social and Cultural Council of the African Union (ECOSOCC), and new initiatives such as the New Partnership for Africa's Development (NEPAD) and the African Peer Review Mechanism (APRM).
22. The APRM, the Continent's home-grown governance, self-monitoring and peer learning mechanism, was born into the African political landscape thanks to the creativity, commitment and vision of African leaders who realised at the time that good governance is a prerequisite for the sustainable and inclusive development of the Continent.
23. This commitment to transform the Continent through sustainable and inclusive development contributed to and culminated in the launching of Agenda 2063 on the 50<sup>th</sup> anniversary of the founding of the Organisation of African Unity (OAU)/AU in 2013.
24. The APRM aims to play a central role in supporting, monitoring and reporting on the implementation of the commitments contained in Agenda 2063 and, potentially, in the Continental Free Trade Area Agreement, presently under negotiation and scheduled for completion in 2017.

## Resilience

25. Since its establishment, the APRM has achieved much success and contributed to resuscitating hope among African countries and citizens.
26. The APRM has also encountered its share of challenges, ranging from management deficiencies to waning political and financial support.
27. But, despite the challenges faced in securing and sustaining the confidence of leaders, citizens and funders, and administrative difficulties, the APRM has evolved into a key building block in the African Governance Architecture (AGA).

## Bridging the Generation Gap

28. Tracing the history of the APRM is essential to understanding its current relationship with the AU.
29. The APRM is rooted in the October 2001 document outlining the New Partnership for Africa's Development (NEPAD), which recognised that “development is impossible in the absence of true democracy, respect for human rights, peace and good governance” and committed Africa's leaders to respect these African and global principles and standards.
30. The NEPAD founding document further described the development of two interlinked “initiatives” on “democracy and political governance” and “economic and corporate governance”, which represent several core elements of the APRM: voluntary accession, mutual support and targeted capacity building, peer learning, shared values and standards, commitment to fostering good governance practices and democratic processes, and building institutions to realise these commitments, and to monitor and assess progress.
31. The APRM is unique among AU bodies and programmes in that accession is voluntary. Although not all AU members have joined the APRM, this Strategic Plan contains plans to continue the drive towards universal membership.

## Growing Recognition of the APRM

32. Despite the challenges mentioned earlier, the APRM has continued to grow in acceptance and membership. Successive Summits – from Abuja in 2003, Algiers in 2007 and Sharm El-Sheikh in 2008 to Malabo in 2014 – placed emphasis on the APRM as a voluntary, home-grown mechanism that was designed to assist member states adopt progressive approaches to good political, economic and corporate governance, democratisation and social justice, as well as to fight corruption.
33. At the more recent Special Summit of the Heads of State and Government Participating in the African Peer Review Mechanism (APR Forum) held on 29 January 2016, H.E. Uhuru Kenyatta, President of the Republic of Kenya and current Chairperson of the APR Forum, called for “renewed commitment to the APRM by the Member States to enable the Mechanism to fulfil the mandate” and “commended

the repositioning of the APRM so that it plays a central role in the implementation of Agenda 2063 and the 2030 Sustainable Development Goals (SDGs)”.

34. The vote of confidence in the APRM from the Summit, and the appointment of a full-fledged Chief Executive Officer (after a seven-year hiatus), sent an important signal of the APRM’s value to the AU system. These developments also reinvigorated the APRM Secretariat as it embarked on fulfilling its mandate and regaining the confidence of stakeholders.
35. Since the Summit, and at the time of preparing this Strategic Plan, APRM had completed Country Review Missions (CRM) in Chad and Senegal, with other missions in the pipeline for Côte d’Ivoire, Sudan and Liberia. In addition, the first “second-generation” review is also under consideration for Kenya.

#### **Integration to the AU**

36. The APRM’s integration into the AU structures as an autonomous entity with the status of a specialised agency will further strengthen its role and impact, and contribute to the realisation of Agenda 2063. As the Special Summit noted, “democracy, good governance and socio-economic transformation cannot be contracted to external parties”, and this philosophy remains at the core of the APRM.
37. APRM is not a panacea but it represents a great stride in the right direction. However, to maintain faith and interest in the APRM, it is imperative that it is seen to be making a difference on the ground; assisting governments to advance beyond their current state of practice, and significantly improving the status quo by strengthening transparency, accountability and public participation in government. That is why the development of a Strategic Plan on how to achieve these goals has become a priority for the APRM.

#### **Highlights of the APRM Strategic Plan**

38. The APRM Strategic Plan for 2016–2020 is the result of broad consultations and introspection, and is founded on key strategies of revitalisation to achieve measurable results. Highlights of the strategies, presented in more detail in this document, include:

- (i) Launching a broad-based and sustained programme of awareness building and advocacy to rally political support;
- (ii) Initiating a broad-based and sustained resource mobilisation campaign;
- (iii) Building the human resource capacity of the Secretariat;
- (iv) Working with the APRM Panel of Eminent Persons, the APRM Committee of Focal Points, and the APRM Forum, to reinvigorate the institution and to improve relationships between the different APRM organs at national and continental levels;
- (v) Working diligently to improve the coordination between the continental Secretariat, the national APRM structures and relevant AU institutions;
- (vi) Embarking on a concerted effort to fully integrate the APRM into the AU structures and processes as envisaged in the Malabo Summit Decision 2014 and enhancing the relevance of the APRM to Africa’s regional economic integration agenda;
- (vii) Partnering in a coordinated campaign with all national and continental APRM organs to accelerate progress towards universal membership of AU member states in the APRM;
- (viii) Establishing follow-up, monitoring and evaluation capacity within the Secretariat;
- (ix) Developing new tools and knowledge products to enhance APRM’s standing as the authoritative think tank on African governance;
- (x) Undertaking research and consultations to enhance compliance with, and enforceability of, APRM recommendations;
- (xi) Pursuing new approaches, tools and instruments to assist in the monitoring evaluation work required in the context of Agenda 2063 and SDG 16;
- (xii) Systematising and institutionalising APRM engagement with civil society and research and academic institutions so as to enhance APRM influence in setting the agenda of conversation on African governance; and
- (xiii) Developing initiatives on the role of regional and international ratings agencies and the potential role of the APRM in this field.

39. The APRM recognises that active partnerships with, and support from, participating States is critical to the successful achievement of the Strategic Plan 2016–2020. The APRM has come of age and is on track to turn the corner towards a productive and successful future.

# Chapter II: Background and Context to the Strategic Plan

## 2.1 Background and Context

40. The African Peer Review Mechanism (APRM) is Africa's most innovative and ambitious initiative on governance, which was launched in 2003 as a voluntary mechanism for self- and peer-assessment of governance policies and practices on the Continent.
41. In this context, peer review is described as “the systematic examination and assessment of the performance of a State by other States, with the ultimate goal of helping the reviewed State improve its policy making, adopt best practices, and comply with established standards and principles”.
42. A proper understanding of the APRM requires a full appreciation of the challenges of the time in which it was born. At the turn of the millennium and formation of the African Union, the Continent faced an array of challenges, not least the eradication of poverty and the urgent need to foster socio-economic development. The adoption of the Constitutive Act of the African Union in 2000 underlined the determination of African leaders to overcome these challenges and to position their countries, both individually and collectively, on the path of sustainable development.
43. Born in that historical context, the APRM sought to promote the values of transparency, accountability and public participation; with specific, time-bound and measurable commitments by member States across the four thematic areas, namely Democracy and Political Governance, Economic Governance and Management, Corporate Governance and Socio-economic Development. As such, APRM assessments and reviews examine such attributes of good governance as participatory democracy, constitutionalism and rule of law. The impact of the APRM since inception has been far-reaching, as the focus on good governance lays a foundation for socio-economic development at all levels, from grassroots to the district and village levels all the way to national authorities, and encourages and empowers citizens to make critical and informed decisions on a range of issues that affect their lives directly.
44. In this effort, the APRM is guided by the AU Declaration on Shared Values that was passed in January 2011 at the 14th Session of the Assembly.

The African Governance Architecture that has emerged from this document includes the African Peer Review Mechanism as well as an agreed set of shared values frameworks which encompass APRM thematic areas, objectives and principles including Good Governance, Democracy, Elections, Human Rights, Humanitarian Issues, Civil Society Participation and Gender Equality.

45. The APRM has as its core mission the deepening of democratic practices through, inter alia, review of national policies and practices against established standards of good governance, identification of deficiencies as well as best practices, and development of tools and methods by which the deficiencies would be rectified and the best practices disseminated and replicated across the continent. The ultimate aim is to encourage and foster the building of transformative leadership and constructive national dialogue through inclusive and participatory self- and peer-assessment processes beyond the current state of practice, thereby significantly strengthening transparency, accountability and public participation in government.
46. The APRM Base Document outlines the principles of the APRM, which are to conduct review exercises in participating states in a manner that is technically competent, credible and free of manipulation. The principle of sharing knowledge on mutually agreed policies, standards and practices is also recognised in the founding documents of the APRM, as are the principles of inclusion and participation of all members of society in the APRM process as part of national ownership.
47. In the first thirteen years of its operation, the APRM has consistently highlighted the case for transformative governance. That persistent call for transformational change is embodied in the African Union Agenda 2063, which is a combined Vision and Action Plan for the next 50 years that comprises seven aspirational goals for the Continent. Several Agenda 2063 goals are central to the mandate of the APRM, including aspirational goal three, which seeks “an Africa of good governance, democracy, respect for human rights, justice and the rule of law”. Agenda 2063 is Africa's principal development framework, incorporating the Common African Position (CAP) on the 2030 SDGs.

48. At the 23rd AU General Assembly held in Malabo, Equatorial Guinea, on 24–26 June 2014, the Assembly of the Africa Union adopted a Decision to integrate the APRM as an autonomous entity within the AU System. This Decision will catalyse the ability of the APRM to play a greater role within the African Union system. The African Union Commission has observed that participation and inclusion of all stakeholders in the implementation and monitoring and evaluation of Agenda 2063 is one of the building blocks of Agenda 2063 success. The APRM is able to make an invaluable contribution to the implementation of Agenda 2063 through its inclusive processes and ability to solicit input from the public and many levels of government.

## 2.2 APRM History and Structure

49. In July 2002, the African Union Summit supplemented the New Partnership for Africa's Development (NEPAD) with the Declaration on Democracy, Political, Economic and Corporate Governance.<sup>1</sup> According to the Declaration, the States participating in NEPAD "believe in just, honest, transparent, accountable and participatory government and probity in public life".<sup>2</sup> The Declaration sets out an action plan with three main substantive headings: democracy and good political governance; economic and corporate governance; and socio-economic development.

50. The Declaration also committed participating States to establishing an African peer review mechanism that aimed "to promote adherence to and fulfilment of the commitments contained" in the Declaration.<sup>3</sup> The first document describing the APRM in some detail, adopted at the same summit in July 2002, sets out its mandate as follows: "to ensure that the policies and practices of participating States conform to the agreed political, economic and corporate governance values, codes and standards contained in the Declaration on Democracy, Political, Economic and Corporate Governance".<sup>4</sup>

51. On 9 March 2003, the NEPAD Heads of State and Government Implementation Committee (HSGIC) adopted the Memorandum of Understanding on the African Peer Review Mechanism<sup>5</sup> and six countries signed it right away, bringing it into force immediately. Member States of the African Union that do not sign the Memorandum of Understanding are not subject to peer review: APRM is a voluntary process. As of May 2016, 35 countries have signed the Memorandum of Understanding, which represents just over two-thirds of the 54 Member States of the African Union, and well over three-quarters of Africa's population.<sup>6</sup>

52. At a meeting of July 2002, the HSGIC also agreed to the establishment of a Secretariat for the APRM and the appointment of a seven-person "panel of eminent persons" to oversee the conduct of the country review process and ensure its integrity. In May 2003, the HSGIC announced the first seven members of the panel.<sup>7</sup>

<sup>5</sup> Memorandum of Understanding on the African Peer Review Mechanism, document NEPAD/HSGIC/03-2003/APRM/MOU (9 March 2003)

<sup>6</sup> The countries are, in order of signing: Algeria, Burkina Faso, Congo, Ethiopia, Ghana and Kenya (March 2003); Cameroon, Gabon and Mali (April and May 2003); Benin, Egypt, Mauritius, Mozambique, Nigeria, Rwanda, Senegal, South Africa and Uganda (March 2004); Angola, Lesotho, Malawi, Sierra Leone and the United Republic of Tanzania (July 2004); the Sudan and Zambia (January 2006); Sao Tome and Principe (January 2007); Djibouti (July 2007); Mauritania (January 2008); Togo (July 2008); and Liberia (January 2011). The communiqué of the Sixteenth Summit of the APR Forum reported that Cape Verde (which had promised to sign in 2009 but did not complete the formalities at that time), Equatorial Guinea and Niger were expected to sign at that summit (January 2012). A map of participating and applicant States is available at [aprm-au.org/aprm-map](http://aprm-au.org/aprm-map).

<sup>7</sup> Communiqué issued at the end of the seventh Summit of HSGIC, 28 May 2003. The first set of seven "eminent persons" was Adebayo Adedeji (Nigeria), Bethuel Kiplagat (Kenya), Graça Machel (Mozambique), Mourad Medelci (Algeria, replaced by Mohammed-Séghir Babès when Mr Medelci took a domestic governmental appointment), Dorothy Njeuma (Cameroon), Marie-Angélique Savané (Senegal) and Chris Stals (South Africa). Ms Savané was the first Chair, succeeded by her deputy, Ambassador Kiplagat. Dr Njeuma was in turn Ambassador Kiplagat's deputy and succeeded him as Chair. When Dr Njeuma became Chair, Professor Adedeji was elected her deputy, and in turn became Chair in July 2007.

<sup>1</sup> Document AHG/235 (XXXVIII), annex I

<sup>2</sup> Ibid. para. 8

<sup>3</sup> Ibid. para. 28

<sup>4</sup> Ibid. annex II, para. 1

53. A member of the panel is assigned to lead the process for each country reviewed, and in particular to head at least two missions to the country, the “country support mission” at the outset of the process and the “country review mission” when the final report is being prepared. Some members of the panel stepped down during 2008 and 2009, leaving the panel seriously incomplete until four new members were appointed in January 2010.<sup>8</sup> Following further retirements, new panel members were appointed by the APR Forum at a meeting held in January 2012, and at subsequent Summits on a regular basis, as mandated under the Operating Procedures of the APRM as approved at the January 2012 Summit.<sup>9</sup> The APR Panel currently has eight members: Dr Mustapha Mekideche (Panel Chairperson, Algeria); Prof. M.Y. Khayal (Deputy-chairperson, Chad), Amb. Ashraf Rashed (Egypt); Amb. Fatuma Ntangiza Nyirakobwa (Rwanda), Hon. Mr. J. Tsang Mang Kin (Mauritius), H. E. Mr Edem Kodjo (Togo), Hon. Ms Brigitte Mabandla (South Africa), and Prof. A. Abu-Manga (Sudan).
54. APRM founding documents provided for a robust review process that would insist on remedial measures for identified governance issues. States would undertake to submit to, and facilitate, periodic peer reviews by a team directed and managed by the eminent persons “to ascertain progress being made towards achieving mutually agreed goals”. The report of the team would be discussed with the Government concerned. This would include establishing whether there is “the will on the part of

the Government to take the necessary decisions and measures to put right what is identified to be amiss”. Then, “if the necessary political will is not forthcoming”, there are steps to engage in “constructive dialogue”. Ultimately, “[i]f dialogue proves unavailing, the participating Heads of State and Government may wish to put the Government on notice of their collective intention to proceed with appropriate measures by a given date”. These measures shall be undertaken as a “last resort”. Six months after the report has been considered by the Heads of State and Government of the participating member countries, it should be formally and publicly tabled at various regional structures, including the African Commission on Human and Peoples’ Rights and the Pan-African Parliament.<sup>10</sup>

55. In practice, the tone of the meetings of the Forum of the African Peer Review Mechanism, made up of the Heads of State or Government of all States participating in APRM (a group separate from the NEPAD HSGIC), could be made more robust, while reporting to other African Union institutions needs to be strengthened. A desire to improve the functioning of the APRM led to the recognition by the Forum in January 2012 of an additional governance structure, the APR Committee of Focal Points, made up of the personal representatives of the Heads of State and Government participating in APRM, to serve as an intermediary between the APR Forum and the APRM Secretariat responsible for oversight of administration and finance.

56. The APRM Secretariat, which has been functioning since late 2003 from its base in South Africa, provides “secretarial, technical, coordinating and administrative support services for the APRM”. In that capacity one of the earliest tasks of the APRM Secretariat was to develop a questionnaire<sup>11</sup> to guide the assessment of participating States’ compliance with the principles contained in the *Declaration on Democracy, Political, Economic and Corporate Governance*. The questionnaire was formally adopted in February 2004, in Kigali, at the first meeting of the APR Forum. Recognising that the original documents were inadequate in themselves for this task, the APRM Secretariat drew on a wide range of African and international human rights treaties and standards, including all the African

<sup>8</sup> The new panel consisted of Adebayo Adedeji (Nigeria, Chair since 2007), Mohamed-Séghir Babès (Algeria) and Domitilia Mukantangazwa (Rwanda) (appointed in 2009), Akere Tabang Muna (Cameroon), Siteke Mwale (Zambia), Julienne Ondziel-Gnelenga (Congo) and Amos Sawyer (Liberia). Professor Adedeji stepped down as Chair and as a member of the panel at the next meeting of APRF in July 2010. However, his deputy, Graça Machel, who would normally have replaced him, was (controversially) not reappointed as a member of the panel in January 2010 although she had been due to lead a second review of Kenya. Professor Adedeji was instead replaced as Chair by the next most senior member, Professor Babès. Professor Mwale was already ill when appointed to the panel in January 2010 and unfortunately died later that year. The two empty places on the panel were not filled at the 2011 APRF meeting.

<sup>9</sup> The full panel after the January 2012 Summit consisted of: Professor Amos Sawyer (Liberia), replacing Mohamed-Séghir Babès as Chair; Barrister Julienne Ondziel Gnelenga (Congo); Barrister Akere Tabang Muna (Cameroon); Ambassador Professor Okon Edet Uya (Nigeria); Ms Baleka Mbete (South Africa); Ambassador Ashraf Gamal (Egypt); Dr Mekideche Mustapha (Algeria); and Ambassador Fatuma Ntangiza Nyirakobwa (Rwanda).

<sup>10</sup> See document AHG/235 (XXXVIII), annex II.

<sup>11</sup> Available from [www.afrimap.org](http://www.afrimap.org), in the African Standards section

human rights treaties, as well as non-binding documents such as the Grand Bay (Mauritius) Declaration and Plan of Action for the Promotion and Protection of Human Rights (1999) and best practices and codes adopted by the World Bank and the International Monetary Fund (IMF). The questions are grouped under four broad thematic headings (based on but expanded from the initial three in the 2002 Declaration): democracy and good political governance; economic governance and management; corporate governance; and socio-economic development.

57. The questionnaire has been the subject of a fair amount of criticism, e.g. that it covers too many issues, has a confusing structure, its questions often overlap, and is unmanageable both for governments and for civil society organisations seeking to respond to it. However, on closer scrutiny, it is much more conceptually rigorous and comprehensive in its lines of inquiry around governance than the original documents.
58. In order to operationalise the APRM, several institutions have been established at country level in accordance with APRM “country guidelines”. Although these have varied somewhat in form, they include: (a) a national APRM focal point, ideally at ministerial level or in the office of the presidency and reporting directly to the Head of State; (b) a national commission or national governing council, responsible for overseeing the national process and signing off of the documents produced, which should be diverse and representative of a wide range of interest groups and should be autonomous from Government (though not all countries have fully respected this rule); (c) a national APRM secretariat to provide administrative and technical support to the national commission or governing council, ideally established outside of Government and with an independent budget; and (d) technical research institutions with the responsibility to administer the APRM questionnaire and carry out background research.<sup>12</sup>

## 2.3 APRM Outputs, Achievements and Lessons Learned

59. The work of the national and continental APRM institutions results in three important documents.
- (a) The first is a country self-assessment report by the country concerned using the APRM questionnaire. The process of developing the self-assessment report is required to be a highly participatory “national dialogue” about the challenges the country faces, managed by the national governing council rather than controlled by the Government. In practice, the record in relation to participation has been mixed, but positive overall.<sup>13</sup> The Panel Member assigned to the country and representatives of the APR Secretariat visit early during the preparation of the self-assessment to oversee the process and assist in its implementation (the “country support mission”). Once the draft report is completed, it is “validated” at a series of meetings with different stakeholder groups, where presentations are made about the findings and recommendations and comments are solicited.
- (b) Based on the self-assessment report, each country prepares a draft National Programme of Action (NPOA) to address the problems identified; this is the second and equally important document at national level. Both documents are then submitted to the continental APRM Secretariat.
- (c) On the basis of this documentation and separate expert inputs, including issues papers as well as information collected during a “country review mission”, the continental APRM Secretariat coordinates the drafting of a separate “country review report” – the third and equally important document – and comments on the NPOA. The APRM Secretariat is assisted in this work by technical partners, including the African Development Bank, the United Nations Economic Commission for Africa (UNECA) and the United Nations Development Programme (UNDP), which supply information and also participate in the country review missions.

<sup>12</sup> See African Peer Review Mechanism: Annual Report 2006 (APRM Secretariat, 2007).

<sup>13</sup> See the guidelines for civil society and national focal points available on the website of the South African Institute of International Affairs ([www.saiia.org.za](http://www.saiia.org.za)) and the evaluations of the APRM processes available on the AfriMAP website ([www.afrimap.org](http://www.afrimap.org)).

60. Once completed, the draft country review report is submitted to the Government concerned for its comments. The report, with the Government commentary annexed, and the final NPoA are ultimately presented and approved by the APR Forum. Six months after this meeting, they are made public. The national programme of action, in practice mostly prepared by the Government, includes a detailed logical framework (log-frame) presentation of costed activities and targets to achieve. The APRM Secretariat tries to ensure that this is not just a “wish list” but a serious attempt to cost and prioritise national objectives. The self-assessment report is only made public after the completion of the entire process and at the discretion of the country concerned, and only a few of those reports are publicly available today.
61. As of May 2016, the country review reports and NPoAs of 17 countries have been published: Ghana (January 2006); Kenya and Rwanda (July 2006); Algeria, Benin and South Africa (January 2008); Uganda (June 2008); Burkina Faso and Nigeria (October 2008); Lesotho, Mali and Mozambique (June 2009); Mauritius (July 2010), Ethiopia (January 2011), Sierra Leone (January 2012), and Tanzania and Zambia (January 2013).<sup>14</sup> Moreover, while Djibouti’s review is in the final stages, country review processes are currently well underway in Chad and Senegal.
62. The time taken to complete all these steps has varied greatly. To cite just a few examples, for South Africa eight months elapsed between the country support mission and the country review mission; for Ghana and Rwanda the period was 10 months and for Kenya 14 months; Mauritius was among the first four countries to start the APRM process in 2004 but only completed its review in mid-2010.
63. The APRM national reviews are normally funded by the Governments concerned, with assistance from a trust fund managed by UNDP to which bilateral and other donors can make voluntary contributions. The costs of implementation have varied: the Government of Kenya, for example, indicated that the total cost of the self-assessment was about USD 1 million. An important review of the APRM process at the sixth Africa Governance Forum (AGF-VI) held in 2006 noted that “the highly consultative nature of the APRM process has been quite expensive for the relatively weaker economies”.<sup>15</sup> To that must be added the costs of the APRM Secretariat and of technical partners to prepare the country review reports, initially estimated at USD 15 million for the first three years. Countries that have signed up for review are required to contribute a minimum of USD 100,000; some have contributed more, while many others are in default.
64. The implementation of the programmes of action resulting from the APRM reviews was not addressed in detail in the APRM founding documents. One result is that the relationship of NPoAs to other national development plans is not clear; nor is the extent to which NPoAs actually require new money or consist essentially of plans that are already under way. Calls for the APRM plans to be coordinated with other strategies have resulted in initiatives such as a meeting organised in March 2007 by UNDP, the African Development Bank and ECA to discuss support for the implementation of the plans of action of Ghana, Kenya and Rwanda.<sup>16</sup>
65. Countries that have completed the process are required to prepare progress reports on the implementation of their NPoAs for the APR Forum meetings, and Algeria, Burkina Faso, Ghana, Kenya, Lesotho, Mali, Nigeria, South Africa, Uganda and others have done so. However, these reports are for the most part prepared by the Governments concerned, without civil society participation prominent earlier in the process, and have often been submitted late. There is currently no real capacity in the APRM Secretariat for independent monitoring of their content.

<sup>14</sup> AfriMAP has published critical reviews of the APRM process in Algeria, Benin, Burkina Faso, Ghana, Kenya, Mauritius, Nigeria, Rwanda and South Africa, compiled in a 2010 report of the Open Society Institute for Southern Africa, *The African Peer Review Mechanism: A Compilation of Studies of the Process in Nine African Countries*; additional reports on Ethiopia, Mali, Mozambique and Uganda were published in 2011 ([www.afriMAP.org/ReportTheme/APRM](http://www.afriMAP.org/ReportTheme/APRM)).

<sup>15</sup> *Implementing the African Peer Review Mechanism: Challenges and Opportunities*, Report of the Sixth Africa Governance Forum (AGF-VI), Kigali, 9-11 May 2006, p. 37

<sup>16</sup> See the report of the Secretary-General on United Nations system support for the New Partnership for Africa’s Development (E/AC.51/2007/4); see also *Implementing the African Peer Review Mechanism: Challenges and Opportunities*, p. 38.

66. Since its inception, the APRM has made significant progress in terms of the number of countries that have acceded to the Mechanism, the rolling-out of the review exercise, the refining of the review process, as well as the level of participation and engagement of stakeholders. Seventeen of the 35 participating countries have completed their reviews, while three Member States are due for peer review at the August 2016 Summit to be held in Nairobi, Kenya, and the January 2017 meeting in Addis Ababa, Ethiopia. Most of the reviewed countries have taken actions on the basis of recommendations and their respective national programmes of action, while a few from this group are already preparing for their second reviews.
67. The benefits derived from the APRM cannot be over-emphasised. In some countries, its findings have highlighted good practices that are worthy of broader dissemination across the continent, drawn attention to impending crises that need immediate preventive action, and analysed virtually all issues of governance that fall somewhere in between. In the unfortunate situation where crises already anticipated by APRM reviews were left unaddressed and eventually materialised, APRM recommendations have provided a useful framework for immediate resolution and long-term reform.
68. At the same time, although the APRM has achieved much since its inception, it has also encountered a number of challenges. To start with, the APRM has never adopted clear strategic plans for its operations; indeed, the present document will be the first one of its kind to guide APRM operations.
69. Furthermore, despite significant progress, the APRM remains largely unknown to the majority of the people of Africa and the rest of the world. For some critics, the APRM has not yielded the much-needed change in governance and improved service delivery to Africa's citizens. In terms of country participation, too, while the APRM's "universal" membership ambitions still remain distant, a significant number of participating countries have yet to undergo the initial base review. Likewise, even among the 17 countries that have undergone the full review, the level of compliance with recommendations contained in the National Programmes of Action (NPOAs) leaves a lot to be desired. Finally, there is also need to enhance popular participation and ownership in APRM reviews; the role of APRM national structures needs to be clarified; implementation monitoring and follow-up mechanisms need to be enhanced; and the capacity of the continental APRM Secretariat needs to be strengthened.

## 2.4 The Strategic Plan Development Process and the Way Forward

70. Guided by the six-point revitalisation agenda from the Special Summit, and under the leadership of its newly-appointed CEO, the APRM Secretariat developed the Strategic Plan to guide its activities over the next five years. The document also builds on the three-pronged turnaround programme for restoration, reinvigoration and renewal of the APRM outlined by the new CEO. The Strategic Plan also draws its inspiration from the original vision and mission, values and guiding principles of the APRM, while taking into account the new and emerging realities on the Continent including the AU Shared Values, Agenda 2063 and the 2030 SDGs. The Strategic Plan starts with a baseline survey of where the APRM is today, its strengths and weaknesses, and identifies the operational priorities, related outputs and activities, and indicators of success for the next five years (2016–2020).
71. The appointment of a new CEO of the APRM Secretariat in January 2016 signalled a significant turning point in terms of the political commitment of the participating states to the Mechanism and the orientation of its principal organs. The CEO commenced his duties with a series of engagements with APRM stakeholders, including an Expert Group Meeting on Revitalisation of the African Peer Review Mechanism (APRM) under the theme: "Strategising, Planning, and Developing Improved Review Methodologies", hosted in Addis Ababa, Ethiopia, from 29–30 March 2016. This was followed by an APRM staff retreat from 29 April to 1 May where the Secretariat, supported by staff from the AU Commission, deliberated on the APRM Vision as well as main elements of the Draft Strategic Plan for 2016–2020, a draft statute for APRM integration into the African Union, and draft terms of engagement for the APRM Panel of Eminent Persons.

72. Finally, these draft documents were submitted to the APRM Revitalisation Committee meeting held on 9–10 May 2016 in Nairobi, the meeting of the APRM Panel of Eminent Persons held in Johannesburg from 20–21 May 2016, and to the meeting of the Focal Points and members of national secretariats and NGCs held in Johannesburg from 21–23 May 2016. The final versions of these documents incorporating all comments and feedback from all these bodies will be submitted to the Committee of Focal Points and subsequently to the APRM Forum meetings scheduled for August 2016 in Nairobi, Kenya.
73. It is notable that while the APRM Strategic Plan 2016–2020 starts from the six-point strategic priorities of the Special Summit and the three-pronged turnaround strategy, its ambitions go beyond revitalisation. By the end of the strategic plan period APRM aims to ensure that it stands on a solid political, financial and knowledge foundation, ready to become the authoritative source of reference on governance in Africa.

## Chapter III: Situational Analysis

### 3.1 Continental Assessment of Trends in Governance

74. Since APRM's inception in March 2003, the Member States have been assessed on four main thematic areas, namely Democracy and Political Governance, Economic Governance and Management, Corporate Governance, and Socio-economic Development. The 17 reviews completed in its first 13 years have identified a number of best practices but also common challenges. The latter in particular include electoral disputes that sometimes degenerate into violent conflicts, youth unemployment, persistent gender inequality, and inadequate structural transformation. Other challenges that require increased attention from the APRM process include such security challenges that result from radicalisation and extremism. Moreover, the governance and regional integration priorities on the Continent had been revised in the years since the creation of APRM in 2003, with new priorities epitomised by AU Agenda 2063 as agreed on in 2013–2014, and the African common position on the 2030 SDGs as finalised in 2015.
75. Agenda 2063 comprises seven aspirations namely:
- (i) a prosperous Africa based on inclusive growth and sustainable development;
  - (ii) an integrated continent, politically united, based on the ideals of Pan-Africanism and the vision of Africa's Renaissance;
  - (iii) an Africa of good governance, respect for human rights, justice and the rule of law;
  - (iv) a peaceful and secure Africa;
  - (v) an Africa with a strong cultural identity, common heritage, values and ethics;
  - (vi) an Africa whose development is people-driven, relying on the potential of African people, especially its women and youth, and caring for children; and
- (vii) Africa as a strong, united, resilient and influential global player and partner. The seventeen SDGs for 2030 are aimed at achieving improvements in poverty reduction, food security, health, education, gender equality, access to water and energy, economic transformation, infrastructure development, reduction of inequality, improved habitation and consumption, resilience to climate change, protection of marine and other ecosystems, the building of peace institutions and overall sustainability.
76. Both the AU Agenda 2063 and the 2030 SDGs have a bearing on APRM's work, and the APRM Strategic Plan should allow AU member states to adopt and adapt a common tracking framework based on APRM tools for progress monitoring in respect of national programmes of action. This will also complement the roles of other African Union structures, organs and Regional Economic Communities tasked with implementing Agenda 2063 and the 2030 SDGs. This may call for a network of APRM stakeholders to examine the response to Africa's governance and reporting challenges. It will also be important to bring on board other potential strategic partners such as the African Capacity Building Foundation and the Mo Ibrahim Foundation due to the roles they play in African Governance.

### 3.2 Institutional Analysis

77. In this section we subject the APRM to a SWOT analysis so as to recognise institutional strengths, appreciate the risks, grasp and build on the opportunities, and anticipate and take steps to prevent threats from materialising or at least mitigate their consequences. Table 3.1 presents the institutional analysis.

**Table 3.1: Institutional Analysis**

<p><b>Strengths</b></p>	<ul style="list-style-type: none"> <li>■ Renewed determination of the leadership all the way from the APRM Forum down</li> <li>■ Clarity and precision of mandate</li> <li>■ Strong record of success, especially in the early days, to build on</li> <li>■ Positive reception of its work among African citizens, civil society and opinion makers around the world</li> </ul>
<p><b>Weaknesses</b></p>	<ul style="list-style-type: none"> <li>■ Uncertain or variable levels of political support</li> <li>■ Poor state of finances and unpredictability of APRM contributions</li> <li>■ Limited staff capacity and adverse impact of financial uncertainty to attract and retain high calibre experts</li> <li>■ Irregular attendance of meetings by some Focal Points</li> <li>■ Poor coordination with relevant AU institutions</li> <li>■ Inadequate follow-up, monitoring and evaluation mechanism</li> <li>■ High cost of country reviews</li> <li>■ Cumbersome country self-assessment questionnaire</li> <li>■ Poorly designed NPOAs that make implementation difficult</li> </ul>
<p><b>Opportunities</b></p>	<ul style="list-style-type: none"> <li>■ A sense of renewed political commitment from the APR Forum down</li> <li>■ Appointment of new and fully-fledged CEO</li> <li>■ Decision for APRM integration into the AU structures and processes</li> <li>■ Ever-growing emphasis, within Africa and globally, on the essential role of good governance for sustainable development</li> <li>■ A sense of good will and intuitive appeal for the APRM mission and the resulting legitimacy and reputational dividend for its work</li> <li>■ Increasing interest in APRM playing a role as a monitoring mechanism for Agenda 2063 and SDGs</li> <li>■ Development of new tools and knowledge products to enhance APRM’s standing as the authoritative think tank on African governance</li> <li>■ Universal membership aspirations</li> <li>■ Availability of a pool of relevant expertise in the continent that can be deployed at relatively short notice</li> </ul>
<p><b>Threats</b></p>	<ul style="list-style-type: none"> <li>■ Lack of sustainable financing</li> <li>■ Potential erosion of autonomy and independence after integration</li> <li>■ Potentially growing gap between expectations and actual impact of APRM review reports and recommendations on the ground</li> <li>■ Non-participation of existing members in the review process and potential withdrawal of others</li> </ul>

### 3.3 Stakeholder Analysis

78. The APRM has several layers of institutional stakeholders, including the individual Member States as represented by the Heads of State and Government participating in the APR Forum, the Committee of Focal Points, the Panel of Eminent Persons, the APR Strategic Partners, and the Secretariat.
79. The Guidelines for Countries to prepare for and to participate in the African Peer Review Mechanism make Member Countries responsible to:
  - (i) Ensure an inclusive and participatory national review process;
  - (ii) Ensure that recommendations arising from the review process are implemented;
  - (iii) Develop a realistic National Programme of Action that builds on national consensus; and
  - (iv) Report on progress in the implementation of the NPoA on an annual basis.
80. Ultimate responsibility for oversight of the APRM organisation and processes rests with the APR Forum. The APR Forum is tasked with exercising constructive peer dialogue and persuasion to effect changes in Member State governance policies and practices as recommended by the review reports. A key challenge for the APR Forum is decreased interest in the APRM as manifested by reduced attendance by the Heads of State and Government of the member countries during the bi-annual summits as well as inadequate commitment towards financial obligations at country level.
81. The APR Committee of Focal Points (CFP) has responsibility for oversight of the APR Secretariat's budgetary process and resource mobilisation through member states, partners and donors. Focal Points are normally at the level of Ministers, and due to busy schedules FPs often delegate attendance to junior officials, which inevitably affects the exercise of its oversight responsibilities.
82. In terms of the APRM Panel, the 2012 Operating Procedures, in line with the provisions of the APRM Base Document, stipulate that "the Eminent Persons must be Africans selected from APRM member States who have distinguished themselves in careers according to the following criteria:
  - (i) Professional competence i.e. intellectual capacity to lead the country review processes and monitor the effective implementation of the National Programme of Action (NPOA);
  - (ii) Integrity, objectivity, impartiality and independence;
  - (iii) Persons of high moral stature and demonstrated commitment to the ideals of Pan-Africanism; and
  - (iv) Capacity to engage high level stakeholders including individual Heads of State and Government, the APR Forum as a collective and key state actors such as Parliament, Executive, Judiciary and non-state actors such as the Private Sector and Civil Society".
83. Among other things, the Panel is mandated to oversee the Country Review Process, make recommendations to the APR Forum on the implementation of the Country Review Process and provide oversight of reporting to the APR Forum on the direction, governance and performance of the Country Review Process as well as other processes that need partnerships and to safeguard African ownership of the Country Review Process.
84. The APRM Base Document and Operating Procedures stipulate that "the APRM Secretariat will provide the secretarial, technical, coordinating and administrative support services for the APRM". In addition, it is noted that "the APR Secretariat must have both the technical and administrative capacity to undertake and manage the analytical work that underpins the peer review process and also conforms to the principles of the APRM". The Secretariat is headed by a CEO who is appointed by the Heads of State. The CEO is the legal representative as well as the accounting officer for the APRM. The functions of the APR Secretariat include facilitating technical assistance to participating countries as well as proposing performance indicators and tracking the performance of each participating country.
85. During the first APR Forum, the Heads of State and Government mandated the APR Panel to work out modalities for establishing relations with institutions that may be able to assist and facilitate its work. One of these modalities related to the elaboration of a Memorandum of Understanding (MOU) between the APRM and Partner Institutions, with details of 11 areas of possible collaboration with Strategic Partners. These include: (i) providing relevant advice to the APR Secretariat; (ii) providing access to data

sources and sharing of information and experiences including through electronic or internet hyperlinks; (iii) assisting countries to undertake their national self-assessment and to prepare their NPoAs; (iv) undertaking technical assessments; (v) assisting countries to prepare for the Country Review Visit; and (vi) building capacity and assisting countries to implement the NPoAs and the recommendations of the country review reports.

86. The Strategic Partner Institutions that were identified at the inception of the APRM are the United Nations Development Programme (UNDP), the United Nations Economic Commission for Africa (UNECA) and the African Development Bank (AfDB). During the Strategic Plan period the APRM aims to add to the list of strategic partners the African Capacity Building Foundation (ACBF) and the Mo Ibrahim Foundation.

### 3.4 The Necessity for Revitalisation

87. A close examination of the state the APRM finds itself in today reveals a number of challenges that have been encountered over the past few years in particular. The challenges are many and varied. They include waning political support for the Mechanism, lengthy review processes and excessively long review reports, a cumbersome questionnaire, widespread non-compliance on the part of many members with their financial obligations, internal management failures, poor coordination among different APRM organs, absence for nearly eight years of a chief executive officer for the Secretariat with full mandate to run the institution, and the onset of a sense of loss of direction for some time.
88. As indicated earlier, some of these issues have been addressed already, the appointment of a fully-fledged CEO being a case in point. However, many of them still remain, becoming the key priorities of the short-term revitalisation effort and core components of the longer-term work plan envisaged in this Strategic Plan.
89. Attempts to address many of these deficiencies have been made since the early days of the APRM. Three prominent examples would be:
- (i) The effort to review the questionnaire and other documents that was launched in 2007;
  - (ii) The extraordinary summit of 2008 that was convened to examine the experience of

countries that had been reviewed at the time; and

- (iii) The Special Summit convened in January 2016 to address the broader challenges of the APRM and chart a path towards its revitalisation.
90. In November 2007, the APRM Secretariat hosted a workshop in Algiers at which it was announced that the APRM questionnaire and other documents would be reviewed by the Secretariat and other stakeholders.<sup>17</sup> Under the Project for Streamlining and Fast Tracking the Implementation of the African Peer Review Mechanism,<sup>18</sup> which commenced in 2009/10, the APRM revised the self-assessment questionnaire and developed a monitoring and evaluation framework, which were adopted by the APR Forum in 2012 and 2015, respectively. The extraordinary summit of the APR Forum that was convened in Benin in October 2008 also discussed a number of cross-cutting issues emerging from the first APRM country review reports, including managing diversity and xenophobia, elections, resource control and management, land policy, and corruption.<sup>19</sup>

<sup>17</sup> The workshop brought together those involved in APRM assessments at the national level, the members of the Eminent Person's Panel, representatives of the APRM Secretariat and technical partners. The aim of the meeting was to carry forward the recommendations of AGF-VI held in Kigali in May 2006, with a view to presenting revisions to the questionnaire and other documents for adoption by the APR Forum at the African Union Summit in January 2008. See "APRM Secretariat gears up for major implementation workshop in Algiers", NEPAD Dialogue (19 October 2007).

<sup>18</sup> The call for papers requested inputs on seven interrelated components: revision of the APRM methodology and processes (assignment A); revision of the APRM assessment questionnaire (democracy and political governance) (assignment B1); revision of the APRM assessment questionnaire (economic governance and management) (assignment B2); revision of the APRM assessment questionnaire (corporate governance) (assignment B3); revision of the APRM questionnaire (socioeconomic development) (assignment B4); development of an NPoA monitoring and evaluation framework (assignment C); and elaboration of modalities for enhancing the participation of civil society in the African Peer Review Mechanism (assignment D).

<sup>19</sup> The final communiqué of the Extraordinary Summit of the APR Forum held in Cotonou on 25-26 October 2008 and other reports of the meeting are available on the AfriMAP website ([www.afriMAP.org/newsarchive.php](http://www.afriMAP.org/newsarchive.php)). Other cross-cutting issues have also been identified, including poverty and inequality, violence against women and gender inequality, violence against children, external dependency, crime and xenophobia, transformative leadership, constitutionalism, chieftaincy, political pluralism and competition for ideas, reform and modernisation of Government, spatial inequality and environmental degradation, unemployment, capacity constraints, and poor service delivery. The original APRM questionnaire also identified cross-cutting

91. Finally, at the special summit on revitalisation of the APRM on 29 January 2016, several Heads of State and Government of participating States made highly insightful and welcome contributions by identifying the real challenges, presenting options on how to overcome them, revitalise the APRM and improve its practical relevance and impact. Among the ideas shared at the Summit to guide the APRM are:
- (i) The ever-increasing relevance of good governance in Africa and globally;
  - (ii) The impact of APRM's dwindling financial capacity in potentially compromising Africa's ownership of the Mechanism;
  - (iii) The waning enthusiasm and commitment of participating states towards the APRM and the concomitant slowdown in the review process;
  - (iv) The need for renewed commitment to the APRM by the Member States to enable the Mechanism to fulfil the mandate conferred on it by the founding fathers;
  - (v) The need to reposition the APRM so that it plays a central role in the implementation of Agenda 2063 and the 2030 Sustainable Development Goals (SDGs);
  - (vi) The need for expeditious integration of the APRM into the AU structures and processes in a manner that does not compromise the autonomy and integrity of the Mechanism;
  - (vii) The need for the APRM to foster dynamic practices aimed at improving governance, while correcting shortcomings in the conduct of the reviews;
  - (viii) The need to overcome the tendency to limit governance reviews to a narrow definition of what constitutes a democratic process, and to underrate the potential for local solutions in taking as a normative view that governance solutions for Africans must necessarily come from elsewhere;
  - (ix) The need for reappraisal of the ideals and values of the APRM;
  - (x) The need for all AU countries to join the APRM and contribute to the achievement of the socio-economic objectives of Agenda 2063 and the SDGs;
  - (xi) The need to translate political will into concrete financial contributions to sustain the Continental Mechanism; and
  - (xii) The need to establish a firm timeframe for payment of Member States' arrears.
92. The Special Summit of the APR Forum concluded with the decision to appoint Professor Edward Maloka as the CEO of the APRM Secretariat. The Forum also directed that the Chairperson of the Committee of Focal Points and the Focal Point for Kenya, Honourable Mwangi Kiunjuri, convene a small team consisting of the APR Secretariat, Focal Points, the African Union Commission and Strategic Partners to make recommendations on revitalisation of the APRM for consideration by the Forum at the next Summit due to take place in Kenya in August 2016.
93. Ahead of the Committee meeting scheduled for 9–10 May 2016 in Nairobi, the CEO convened an Expert Group Meeting to provide a platform to discuss and deliberate on elements of the short-term Turnaround Strategy as well as this Strategic Plan for APRM from an experts' point of view. The EGM deliberated on three identified pillars of the turnaround strategy – restoration, reinvigoration and renewal – and included discussion on important developments on the Continent including AU Agenda 2063 and the SDGs, with a view to outlining key strategic priorities on the way forward.
94. The Restoration pillar focuses on addressing the immediate challenges faced by the APRM including:
- (i) Development and implementation of the 2016 Work Plan;
  - (ii) Strengthening compliance with APRM principles;
  - (iii) Resource Mobilisation;
  - (iv) The integration of the APRM into the AU systems and processes, and
  - (v) Implementing the APRM Work Plan.

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issues which, however, are slightly different: poverty eradication, gender balance, decentralisation, country capacities to participate in APRM, access to and dissemination of information, corruption, broad-based participation, and sustainability in financial, social and environmental issues.

95. The strategic objectives for 2016 are underpinned by an optimally capacitated Secretariat which will lead efforts to increase the number of country reviews and more effective implementation of NPOAs as well as have the ability to conduct multiple reviews concurrently while generating valuable institutional knowledge from its work in monitoring and engagement on national governance practices.
96. The Reinvigoration pillar consists of repositioning, re-energising and intensifying commitment to APRM's mandate. The major focus will be in repositioning the APRM, in collaboration with other institutions, as one of the mechanisms for monitoring and supporting attainment of the AU Agenda 2063 and the global 2030 Sustainable Development Goals. In the First Ten-Year Implementation Plan of Agenda 2063, the APRM is expected to contribute to the goals relating to the adoption of democratic values, practices, universal principles of human rights, justice and the rule of law as well as the creation of capable institutions and transformational leadership.
97. The Renewal pillar includes the review, refinement and further development of APRM tools and processes including its research and information gathering instruments for drafting the Country Self-Assessment Report. The renewal phase will also include reimagining the philosophy behind the APRM, to make the Mechanism more relevant in a changing world.
98. The Strategic Plan took the ideas presented at the expert meeting to a higher level. The draft Strategic Plan was presented and further refined at an APRM staff retreat organised specifically for the purpose and with generous help from experts from the strategic planning department of the AU Commission. The final draft was then presented to the Revitalisation Committee meeting convened by Kenya from 9–10 May 2016. The Committee considered the Strategic Plan in depth, provided detailed guidance for its further enhancement and endorsed it unanimously. A revised version of the Strategic Plan that incorporated the feedback and guidance from this Committee was presented to the 77<sup>th</sup> meeting of the APRM Panel and the special meeting of the national organs that was held in Johannesburg from 20–23 May 2016.

### 3.5 Conclusion

99. The APRM was born into the African political landscape because of the creativity, commitment and farsighted vision of African leaders who realised that good governance is a prerequisite to the sustainable and inclusive development of the continent. Since its establishment, the APRM has registered a number of achievements and rekindled the hope of Africans that the vice of maladministration that has afflicted the continent for so long and perpetuated their misery can indeed be addressed through self- and peer-review and consultative, cooperative and constructive mutual engagement, by Africans and for Africans. That hope and promise was translated into concrete results especially in the first years of its existence. However, the APRM has also encountered its share of challenges, ranging from management deficiencies, to waning political support, all the way to near-financial bankruptcy.
100. Today the APRM is turning a corner; the political direction has changed; a new and fully-fledged CEO has been appointed; financial pledges have come forward; a sense of purpose and energy has returned. Indeed, the AUC Strategic Plan 2014–2017 identifies as one of its opportunities “good governance through the APRM”. Considering that not all members of the AU are participating in the APRM, this is a notable vote of confidence in the Mechanism, but also a direct challenge for the institution to live up to its promises. It is against this backdrop that we write this Strategic Plan for the next five years.

# Chapter IV: Strategic Plan 2016–2020

## 4.1 Strategic Concerns and Priorities

101. The situational analysis presented in Chapter III shows that although the APRM was launched with great ambitions and enthusiasm, and recorded great achievements during much of its first decade of existence, it lost its direction over the past few years in particular. The factors responsible for the crises are many and varied. Addressing the root causes of the crises is the starting point of this Strategic Plan, but it goes further and aims to take the APRM to new heights, prepare it to tackle the new challenges and responsibilities, including the monitoring and follow-up work in the context of Agenda 2063 and the SDGs.

102. From the situational analysis in Chapter III, the directions we received from the presentations made by African leaders at the Special Summit of January 2016, the expert group meeting that was held in March 2016, the revitalisation committee meeting (Nairobi May 2016), and the meetings of the APR Panel and the national APRM organs (Johannesburg May 2016), and detailed technical analyses, we have drawn 16 issue areas, later categorised as one of eight key priorities, for the APRM to focus on during the strategy period. These are:

- (i) Launch a broad-based and sustained programme of advocacy to bring back the political support for the APRM as well as enhance its brand recognition throughout the continent and beyond;
- (ii) Launch a broad-based and sustained resource mobilisation campaign;
- (iii) Build the human resource capacity of the APRM Secretariat so as to enable it to run more than one country reviews at the same time; recruit the high-calibre staff APRM work demands and institutionalise state-of-the-art human resources strategy for recruitment and retention of high level talent;
- (iv) Working with the APRM Panel of Eminent Persons, the APRM Committee of Focal Points, and the APRM Forum, bring back a panel selection process that is entirely merit-based and not driven by political considerations alone;

- (v) Work diligently to improve the relationship between the different continental APRM organs, including through the introduction of clearer and more precise terms of engagement for members of the APR Panel;
- (vi) Work diligently to harmonise and strengthen coordination between the continental APRM Structures on the one hand and national APRM organs on the other;
- (vii) Launch a concerted effort to fully integrate the APRM into the AU structures and processes as envisaged in the Malabo Summit Decision 2014 while retaining a degree of independence and operational autonomy to ensure the APRM delivers on its mandate without undue bureaucratic or political interference;
- (viii) Launch a coordinated campaign with all national and continental APRM organs to accelerate progress towards universal membership of AU member states in the APRM;
- (ix) Establish follow-up, monitoring and evaluation capacity within the APRM Secretariat;
- (x) Develop new tools and knowledge products to enhance APRM's standing as the authoritative think tank on African governance;
- (xi) Undertake research and consultations with a view to devise ways and means of enhancing compliance with, and enforceability of, APRM recommendations at national level and submit recommendations to the APRM Committee of Focal Points and the APR Forum;
- (xii) Undertake research and consultations on how best to reduce the cost of country reviews, including through the use of modern IT facilities, without compromising on the quality of the process and the outcome;
- (xiii) Develop new approaches, tools and instruments with which to assist in the monitoring evaluation work required in the context of Agenda 2063 and SDG 16 goals of building capable, inclusive and responsive governance institutions, and foster transformative leadership in Africa;
- (xiv) Systematise and institutionalise APRM engagement with civil society and research and

academic institutions so as to enhance APRM influence in setting the agenda of conversation on African governance;

- (xv) Develop initiatives on the role of regional and international ratings agencies and the potential role of the APRM in this field; and
- (xvi) Champion Flagship Projects in order to draw attention to shared challenges that underline the need for transformative leadership, inclusive growth, mobilisation of domestic resources, improving the performance of state-owned enterprises, and universal accession to the APRM.

## 4.2 The Foundations of the Strategic Plan

103. This Strategic Plan is founded on the vision, mission and mandate articulated hereunder.

### Vision

104. The vision of the APRM is the full actualisation of transformative leadership and practice for the Africa we all want.

### Mission

105. The mission of the APRM is to promote the African Union's ideals and shared values of democratic governance and inclusive development by encouraging all Member States of the Union to collaborate and voluntarily participate in the home-grown, credible, rigorous, independent and self-driven peer review process and the implementation of its recommendations.

### Mandate

106. The mandate of the APRM is to ensure that policies and practices of participating Member States conform to the agreed political, economic and corporate governance values, codes and standards contained in the African Union Declaration on Democracy, Political, Economic and Corporate Governance. As a voluntary self-monitoring instrument, APRM fosters the adoption of policies, standards and practices that lead to political stability, high economic growth, sustainable development and accelerated regional and continental economic integration through sharing of experiences and best practices, including identifying deficiencies and assessing the needs for capacity building.

107. According to the Declaration, the APRM "seeks to promote adherence to and fulfilment of the commitments contained in this Declaration" (paragraph 28). It is thus clear that the overall goal of the APRM initiative is to promote, on the part of participating states, adherence to and fulfilment of standards of good political, economic and corporate governance agreed by those states in different forums, be they regional, continental or global.
108. This Strategic Plan aims to deliver on its mandate and pursue its mission by deploying all its energy and resources in the 16 issue areas identified above as categorised within the eight key priorities.

## 4.3 Overview of the Strategic Plan: key priorities, anticipated outcomes and related outputs

Table 3.1: Institutional Analysis

KEY PRIORITIES	OUTCOMES	OUTPUTS
<b>1. Shared Values Advocacy and Communication</b>	1.1. Shared Values articulated in AU Assembly Declaration of 31 January 2011 integrated into APRM systems, processes, and activities systematically communicated and implemented <b>1.1. SHARED</b>	1.1.1. AU shared values systematically integrated into the entire value chain of APRM activities <b>1.1.1. AU</b>
		1.1.2. APRM systematically integrated into the AGA framework as a major player or component
		1.1.3. APRM engagement with civil society and research and academic institutions institutionalised
		1.1.4. A communication and advocacy plan developed and implemented
		1.1.5. Media outreach/campaigns to market APRM's initiatives extensively conducted
		1.1.6. APRM annual reports regularly published
<b>2. Review and Implement the APRM Core Mandate</b>	2.1. APRM Mandate reviewed, updated and implemented to reflect evolving developments	2.1.1. The current APRM mandate is implemented in full, on the basis of a three-year calendar of missions agreed and approved in advance
		2.1.2. A revised APRM mandate reflecting today's governance challenges and proposing policy options on the way forward is developed and submitted to decision makers for adoption
		2.1.3. In the immediate short term, a Draft Declaration is submitted to the August 2016 APR Forum Meeting through which participating countries can renew their commitment to the vision, mission and operational objectives of the APRM
		2.1.4. APRM officially recognised as one of monitoring and accountability mechanisms for Agenda 2063 and SDGs and special initiatives in the form of flagship projects launched
		2.1.5. The role of regional and international rating agencies clearly identified, and a set of clear policy options and strategies on what the APRM's role as a rating agency is developed and submitted to decision makers
		2.1.6. Impact assessment studies on the work of the APRM and its relevance for the day-to-day challenges of the ordinary African citizen completed
<b>3. Resource Mobilisation and Financial Management</b>	3.1. A financially sustainable and credible Secretariat	3.1.1. A resource mobilisation strategy developed and implemented
		3.1.2. Member States' contributions paid timeously
		3.1.3. AU financial rules and regulations, adopted and adapted
		3.1.4. Financial management and internal audit functions strengthened
		3.1.5. APRM annual audited reports published on the website
		3.1.6. Regular quarterly meetings of Focal Points Subcommittee on Finance and Administration held

<b>KEY PRIORITIES</b>	<b>OUTCOMES</b>	<b>OUTPUTS</b>
<b>4. Human Resource Capacity Development</b>	4.1. A fully capacitated Secretariat capable of effectively and efficiently implementing the broad mandate of the APRM put in place	4.1.1. APRM organisational structure revised and aligned to AU positions grading and salary scales
		4.1.2. APRM adopts and adapts AU Staff Rules and Regulations
		4.1.3. APRM Human Resource Management Strategy developed and implemented
		4.1.4. High calibre APRM Staff recruited and appointed
		4.1.5. APRM Staff retention strategy developed and implemented
		4.1.6. Performance Management is institutionalised in APRM processes and practices
<b>5. Development of Monitoring and Evaluation Frameworks and Systems</b>	5.1. Enhanced efficiency and effectiveness of peer review processes	5.1.1. Monitoring and Evaluation frameworks for improved quality of internal and country review processes developed and operationalised
<b>6. Enhancement of Research &amp; Development Capacity and Improvement of Operational Tools</b>	6.1. Evidence-based national compliance with APRM review recommendations and National Programmes of Action (NPOAs)	6.1.1. Networks and structures are established with relevant research and advocacy institutions for increased research collaboration and enhanced participation of civil society in peer review processes
		6.1.2. Compliance with APRM recommendations and NPOAs at national level enforced
		6.1.3. An APRM Knowledge Hub and Resource Centre established
		6.1.4. The quality of APRM Reviews noticeably enhanced through better tools, processes and streamlined questionnaire, leading to shorter timeframes and reduced cost of country reviews
<b>7. Intra-APRM Coordination and Harmonisation:</b>  Improve coordination and harmonisation between the APRM Continental and national and regional structures, as well as with relevant AU organs, in the exercise of the APRM mandate and programmes	7.1. Improved effectiveness and impact of APRM programmes	7.1.1. Strengthened linkages and coordination between the APRM Secretariat, the APR Panel, and national and regional structures, and with relevant AU organs, in the exercise of APRM's mandate and programmes
<b>8. APRM integration into the AU, Universal Accession and enhanced APRM relevance to Africa's regional integration agenda:</b>  Integrate the APRM into the AU structures and processes as envisaged in the Malabo Summit Decision 2014; launch the campaign for accelerated universal accession and enhanced APRM relevance to relevance to Africa's regional integration agenda	8.1. APRM fully integrated into AU structures and its relevance to Africa's regional integration agenda enhanced	8.1.1. The Statute on integration drafted, finalised and submitted to relevant APRM and AU structures for consideration and adoption, and strategies to enhance APRM's relevance to Africa's regional integration agenda developed and implemented
		8.1.2. APRM Secretariat management and governance systems aligned with relevant AU rules and regulations
		8.1.3. APRM Secretariat legal status with the host government of the Republic of South Africa formalised
	8.2. Membership and participation in APRM initiatives increased	8.2.1. Universal accession to APRM by AU member states achieved

#### 4.4 Strategies and Actions to pursue

109. In line with Table 4.1, this section summarises the conditions that must exist, and the list of actions that need to be taken, in the pursuit of the key outcomes and the lead actors in the process.

##### **Outcome 1: Shared Values Advocacy & Communication**

110. The APRM is an African intergovernmental initiative. As such it was born out of the political will, commitment and determination of the generation of political leaders who appreciated the essential role of good governance in Africa's efforts to extricate itself from the perils of poverty, disease, civil and cross-border conflict, exploitation, and general state of under development. If that political will, born of necessity, was there at the origin of the APRM as an initiative, it must continue to exist for the APRM to deliver on its hallowed mandate to foster the adoption of policies and practices that conform to the standards of shared values including good governance, democracy, competitive elections, human rights, humanitarian issues, civil society participation and gender equality.

111. Essential as it is, sustaining political will and political support requires constant effort from APRM stakeholders. Whatever we do to revitalise the APRM, therefore, we must start from the foundation – the political will and continued support of its member states.

112. Unlike many of our priorities, the issue of political support is not something that can be achieved once and left there; it needs to be reflected in everything we do on a daily basis.

113. Also, no campaign or strategy is a substitute for high quality work and effective communication of the product with our constituency. APRM cannot achieve its objectives without a communication strategy that is state-of-the-art, dynamic, and flexible. The Communication Strategy must build and enhance the APRM brand, and lead to broad international recognition for the APRM and its activities.

114. In order to communicate about APRM and its activities effectively while at the same time sustaining political backing for the work of the APRM, we shall pursue the following action plan:

- (i) Develop and submit a Draft Declaration to the August 2016 APR Forum Meeting through which participating countries can renew their commitment to the vision, mission and operational objectives of the APRM;
- (ii) Develop and submit for approval a well-thought communication policy and implement the same;
- (iii) Ensure such a policy addresses ways and means of enhanced and sustained engagement with relevant stakeholders;
- (iv) Identify key players in the field and determine appropriate methods of engagement;
- (v) Conclude memoranda of understanding or other, less formal, methods of engagement as appropriate with stakeholders;
- (vi) Ensure APRM influence in setting the agenda of the good governance discourse in Africa is measurably improved;
- (vii) Renewed commitment on the part of the APRM Secretariat for transparent, accountable and highly professional management of APRM resources;
- (viii) Renewed dedication for high quality of engagement in the conduct of our primary responsibility, i.e. review of national policies and practices in the four thematic areas according to the agreed standards;
- (ix) Improved and highly professional communication of our work with member states, national APRM bodies, civil society and other stakeholders;
- (x) A commitment to establish and run an organisation that embodies the very principles of good governance we are there to foster at the continental level and serve as a model that leads by the force of its own example;
- (xi) Ways of engaging national parliamentarians identified and pursued; and
- (xii) Working relations with the Pan-African Parliament strengthened.

## **Outcome 2: Review and Implement the APRM Core Mandate**

115. The primary consideration here is the need to ensure the APRM mandate and priorities are adapted to the changing governance realities on the continent over time. In this context, while the APRM has been undergoing a difficult period, it is reassuring to see that our member states and other partners are counting on the APRM to provide its services in the pursuit of the new generation of global and continental goals spanning decades into the future. This might be a challenge for the institution today but it is also an opportunity the APRM must grasp. This strategic plan is written with that very objective in mind.
116. Another area that is increasingly becoming important is the influence of international rating agencies on the ability of African countries to attract foreign investment, and particularly to raise capital on international financial markets. Based generally in Europe or North America, these agencies assess every country on the basis of metrics and indicators they develop independently of the countries being assessed and rated, and typically on the basis of criteria that have particular relevance in the economics and culture of the Western World. The effect very often is the assignment of numbers to countries whose cultures, traditions and economic structures they hardly understand. It is thus not surprising that the African countries they condemned as near failed states often recover from their predicament within much shorter timeframes than they imagined or expected. However, and regardless of such resilience, a country so condemned by the rating agencies will have no option but to continue paying interest rates several times higher than what would be available to a similarly-situated country but for the grade awarded to it by rating agencies. The resulting outflow of foreign currency, not to mention the piling-up of unserviceable debts on the shoulders of our countries, has persuaded many of our leaders to look to the APRM as a possible countervailing force in this field. The confidence our member states are putting on the APRM is highly gratifying, but the responsibility is also enormous. In appreciation of this situation, we aim to launch a series of initiatives and projects in this area.
117. Related to the review and implementation of our core mandate we believe the introduction of Flagship Projects can play a critical role. The Flagship Projects will be catalysts to enhance and fast-track the realisation of APRM goals. Five Flagship Projects have been identified in the first instance:
- (i) Transformative Leadership (within the Democracy and Political Governance thematic area);
  - (ii) Inclusive Growth (within the Socio-Economic Development thematic area);
  - (iii) Mobilising Domestic Resources for national development (within the Economic Governance & Management thematic area);
  - (iv) Improved Governance of State Owned Enterprises (within the Corporate Governance thematic area); and
  - (v) Universal Accession to the APRM by all AU Member States (which applies at the institution level as a whole).
118. The Flagship Projects are high impact initiatives for promoting the APRM's mission. Under the umbrella of each Flagship Project, champions and panellists will be identified to engage in advocacy work, create or host good practice networks of member states, convene high-level events, reach out to stakeholders and partners, etc.
119. The action points that need to be taken in order to meet existing and new mandate-related challenges include:
- (i) Ensure APRM is officially recognised as one of the mechanisms, in collaboration with other institutions, for Agenda 2063 and the SDGs, prepare detailed methods and processes for monitoring and submit for official adoption, and publish first monitoring and evaluation reports;
  - (ii) Establish and/or strengthen working relations with relevant continental and global bodies;
  - (iii) Carry out an exploratory and scoping study to better understand the gravity of the issues involved in the field of country ratings, the players on the ground, and determine the potential role of the APRM in the field;

- (iv) Identify Africa-based rating agencies, develop a set of clear policy options and strategies of engagement with these agencies and submit same for approval;
- (v) Develop benchmarking exercise between APRM metrics and indicators and those used by rating agencies;
- (vi) Develop methods by which to evaluate and report on the work of rating agencies vis-à-vis African countries;
- (vii) Identify Member State Champions for each Flagship Project (one per region) to coordinate the theme with a Member of the Panel.

### **Outcome 3: Resource Mobilisation and Financial Management**

120. The issue of political will and commitment addressed in Outcome 2 above will manifest itself in the willingness of member states to finance the Mechanism on a sustainable basis. As a home-grown, unique and globally leading initiative, the APRM is one of the most iconic inventions of our continental organisation. Its founding fathers knew that in order for this unique initiative to serve African interests, and African interests alone, all its costs must be covered from African sources. This might, and indeed often does, pose serious challenges in the short term but this is an aspiration the APRM must remain loyal to, cherish and pursue in every way possible.
121. Assuming all members pay their dues, Member State contributions would cover only about 50 percent of the APRM budget. The approved APRM budget for 2016, for example, is USD 7,056,251.00. On the other hand, if each of the 35 countries pays the USD 100,000.00 they are obliged to pay annually, that would leave in excess of USD 3.5 million to be covered from other sources. What is worse, far too many countries have been in arrears, in some cases for several years. Today, member states owe the APRM well over USD 12 million.
122. Financial and technical support from strategic partners has been instrumental in filling the funding gap, but even this source has almost dried up of late. The APRM Trust Fund, managed by UNDP, commenced with 10 contributors including development partners and member States, but today it appears there is none.
123. This indicates that, if the APRM is going to achieve its aspiration of becoming fully reliant on African funding, first, all countries that are in arrears need to clear their debts within a reasonable period; and second, the level of annual contributions needs to be increased to at least USD 200,000.00 per member state. In appreciation of this challenge, the Revitalisation Committee has endorsed a proposal from its members to raise the level of Member States' annual regular contributions from the current USD 100,000.00 to USD 300,000.00.
124. Even then, we need to be realistic in our expectations. Excessive and unsustainable reliance on external sources of funding is a challenge faced even by the AU Commission, which gets 96 per cent of its programme budget from external partners (AU Strategic Plan 2014–2017, p. 93). This experience should teach us that raising the level of annual membership contributions is not going to be a panacea for our funding challenges. Accordingly, our resource mobilisation strategy will need to be multi-pronged, innovative and integrated into our day-to-day activities.
125. With this broad objective in mind, we undertake to pursue the following series of steps during the period of the strategic plan:
- (i) In order to have a clear break with the legacy of doubts and uncertainties about the financial management of the APRM Secretariat, the APRM Secretariat will recruit a reputable firm of auditors to carry out a comprehensive audit of APRM accounts as well as the now defunct APRM trust fund accounts and publish the same on our website;
  - (ii) Undertake an inventory of the state of national contributions by member states, identify those in arrears and, under the guidance of the Committee of Focal Points, approach the countries in arrears to clear their debts within a set timeframe;
  - (iii) Develop and submit for approval by the Committee of Focal Points, and later by the APRM Forum, options for revised membership annual contributions;
  - (iv) Develop and submit for approval by the Committee of Focal Points, and later by the APRM Forum, a detailed strategy on how to resuscitate and recapitalise the trust fund as a matter of urgency;

- (v) Develop detailed strategies and action plans on how to engage African companies, foundations and citizens with the capacity and will to make a contribution and implement the same;
- (vi) Develop detailed strategies and action plans on how to reengage our strategic partners and implement the same; and
- (vii) Explore alternative sources of funding, including through sale of knowledge products that will be developed as part of our knowledge management and communication strategy.

**Outcome 4: Human Resource Capacity Development:**  
*APRM Secretariat staffed to full capacity and the quality of APRM Reviews noticeably enhanced*

126. Under the organisation structure approved by the Committee of Focal Points in 2012, the APRM Secretariat is supposed to have 45 full-time staff. And this is for the traditional work of the APRM before the introduction of Agenda 2063 and the SDGs, which the APRM has been specifically instructed to work on. Today, the Secretariat has barely 20, most of them on short-term contracts that are running out shortly.
127. The capacity constraints of the APRM Secretariat inevitably affect the quality, efficiency, and overall integrity of country review processes and outcomes. For example, different types of reviews are envisaged in the APRM founding documents, such as crisis-triggered reviews and reviews at the special request of a participating state, and indeed the reviews are supposed to take place at regular and pre-defined intervals. The lack of political will provides a major part of the explanation for the complete absence of the special or regular reviews, but the institutional capacity of APRM Secretariat would also have made it nearly impossible to act otherwise.
128. Against this background, during the strategic plan period, we aim to:
- (i) Give, with immediate effect, relevant current staff one-year contracts in order to stabilise the work environment;
  - (ii) Standardise staff contracts during the early part of the Strategic Plan period according to AU rules and regulations, which require that all positions are properly advertised and a

- transparent and competitive recruitment process adopted;
- (iii) Develop, taking into account the increased responsibilities from Agenda 2063 and SDGs as well as the ambitions contained in this document, a detailed human resources strategy and implement the same;
- (iv) On the basis of the above, prepare a revised organisational structure and staffing requirements, submit for approval to the Committee of Focal Points and implement same; and
- (v) Recruit qualified experts to fill all existing vacancies as a matter of urgency.

**Outcome 5: Development of Monitoring & Evaluation Frameworks and Systems**

129. An issue that has constantly come up in the short history of the APRM is what value it in fact adds, what it can show on the ground, and indeed what it can do if countries do not have the political will to implement the recommendations. This is a challenge that needs to be addressed; otherwise, it can put the very credibility of the APRM into question.
130. In practice the problem has two dimensions: the enforceability of APRM recommendations, on the one hand, and the monitoring, reporting and follow-up capacity of the APRM Secretariat on the other. If the APRM Secretariat is unable to follow up and report on the performance of countries after a review has been completed, we would not have any credible way of telling whether countries in fact comply with the recommendations. That in turn makes the question of enforceability a largely academic question. That is why these two issues need to be addressed in tandem.
131. Furthermore, for an international organisation such as the APRM whose primary task is the review of national policies and practices, the development of state-of-the-art monitoring and evaluation capacity is fundamental. Neither the standards against which countries are reviewed, nor the evidence of compliance or otherwise at national level, come in easily quantifiable or determinate terms. They are often subjective and context dependent. As such a sophisticated methodology of measurement and evaluation is critical. This capacity is currently non-existent and has to be created from scratch.

132. To address these concerns, we aim to do the following during the strategy period:

- (i) Prepare and submit for approval to the APRM Committee of Focal Points detailed terms of reference, along with human resource and budgetary requirements, for such unit to be established within the APRM Secretariat;
- (ii) Recruit appropriate experts and launch the unit;
- (iii) Develop new tools and approaches for follow-up, monitoring and evaluation, submit for approval and implement once approved;
- (iv) Publish the first M&E reports;
- (v) As indicated elsewhere, develop in-house capacity to monitor and report on the actions taken by reviewed countries in respect of specific recommendations;
- (vi) Launch research and analytical work, which may be done in house or through qualified external consultants;
- (vii) Present analytical reports and their recommendations for consultations before relevant APRM organs, including the APRM Committee of Focal Points and the APRM Panel; and
- (viii) Submit consensus proposals that emerge from these consultative exercises, if any, to the appropriate decision making body should such become necessary.

#### **Outcome 6: Enhancement of Research & Development Capacity and Improvement of Operational Tools**

133. The experience with the 17 completed country review processes and published reports shows the enormity and complexity of the APRM review exercise. It is highly resource intensive, exceptionally detailed and comprehensive, and some of the requirements are difficult to implement. This has led to calls for simplification of the review exercise, including revision and simplification of the self-assessment questionnaire, and in some cases even limiting the scope of the reviews to some, and not all, of the four thematic areas. The call is understandable, but the context needs to be appreciated properly. The experience so far is limited to what is often called the base review – i.e. the very first review of countries that have joined

the APRM. No country has undergone the follow-on review that is supposed to take place two years after the base review. It is almost natural that even the type of data will be different between the base review and any subsequent reviews; the latter will be simpler and easier to administer. So this issue needs to be approached with care. Having said that the need to simplify and further rationalise the self-assessment questionnaire is particularly a real and pressing one. As such a revision of this otherwise vital document needs to be one of the priority tasks for us to take on.

134. One thing the APRM has that others do not is comprehensive and up-to-date information and analysis about national policies and practices of governance in all four thematic areas. Properly utilised, the potential opportunities that emanate from this APRM niche are highly significant. A proper utilisation of this resource needs to be guided by a well-thought strategy.

135. We are in the fortunate position that we have a draft knowledge management strategy in place (from November 2015) and a knowledge management division has already been established. Much of this section draws on the key recommendations of the knowledge management strategy.

136. With the above thoughts in mind, the action points to achieve the desired outcomes include:

- (i) Revise and/or update, as necessary, and implement the Knowledge Management and Communications (KM&C) Strategy (NB: implementation of KM&C strategy would effectively mean implementation of most of the action points outlined below);
- (ii) Undertake a comprehensive review of all the documents, including the country self-assessment questionnaire, and accompanying processes with a view to simplifying the review exercise and injecting a degree of efficiency without compromising the quantity and quality of necessary data and analysis needed in order for the APRM to achieve its objectives;
- (iii) Progressively increase the amount of review-related work, including the preparation of issue papers in different thematic areas, conducted by APRM Secretariat staff and proportionately decrease the amount carried out by external consultants;

- (iv) Submit proposal to progressively transition from paper-based reviews to computer-based reviews and implement same in countries where the national IT infrastructure permits;
  - (v) Develop and submit for approval an APRM IT Policy and implement same;
  - (vi) Design, build and launch new, more accessible and functional web site;
  - (vii) Organise and publish all public APRM documents on website;
  - (viii) Launch new ways of engagement with stakeholders, which may include practitioner and/or academic workshops and symposia, internship opportunities for selected African graduate students, special agreements with selected African academic institutions, etc.;
  - (ix) Publish new knowledge products, such as policy briefs, independent analyses, workshop proceedings, peer-reviewed publications, etc.; and
  - (x) Establish and launch an African governance repository.
- (i) Develop and submit for approval detailed terms of engagement for the APRM Panel and implement the same;
  - (ii) Ensure that, unless a contrary decision is taken by the APRM Forum, all terms of engagement developed for the Panel are crafted and implemented in a manner that meets the relevant AU rules and regulations;
  - (iii) Work with absolute dedication to ensure that the APRM Panel carries out its important responsibilities with all necessary support from the APRM Secretariat;
  - (iv) Develop and submit for approval by the Committee of Focal Points a detailed strategy for improved engagement (a) between the continental APRM bodies, and (b) between the continental and national APRM organs;
  - (v) Create new opportunities for exchange of lessons and experiences among different national APRM organs, including through the organisation of workshops, seminars and conferences involving national officials whether at continental level or regionally; and
  - (vi) Establish and institutionalise opportunities for secondments and other forms of intensive experience sharing opportunities so that national officials can gain experience by working from within the APRM Secretariat in Midrand; etc.

#### **Outcome 7: Intra-APRM Coordination and Harmonisation**

137. The APRM initiative is, of course, about review and evaluation of policies and practices in member states against defined and agreed standards. But, it is also much more than that. It is also about establishing and institutionalising the culture and practice of open and transparent governance at all levels, the exchange of experiences, and mutual learning. The quality of the learning that can be gained, and indeed the quality of the review process and outcome itself, is a function of the quality of the relationships between (a) the continental APRM structures including the APR Forum, the Committee of Focal Points, the APR Panel of Eminent Persons and the APRM Secretariat, on the one hand, and (b) the national APRM bodies on the other.
138. The quality of working relationship between the APRM continental structures is particularly critical, and needs to be based on a clear division of tasks and lines of accountability.
139. In order to address all these concerns and set relationships on clear foundations, APRM shall:

#### **Outcome 8: APRM integration into the AU, Universal Accession, and enhanced APRM relevance to Africa's regional integration agenda**

140. The APRM, although a voluntary initiative adhered to by just 35 of the 54 AU members, was the creation of the continental body. In that spirit, the 2014 AU summit decision in Malabo to bring the APRM into the AU structures and processes brings much needed clarity to this vital relationship. The process of integration has started but is yet to be completed, which we aim to achieve in the first phase of the Strategic Plan period. The relevance of the APRM to Africa's regional integration agenda will also be measurably enhanced during this period.

141. Universal membership is, and must remain, the aspiration of the APRM. To that end, during this Strategic Plan period, we aim to launch a coordinated campaign to persuade countries to join. To these ends, we aim to:

(i) Draft and submit for approval by a statute for APRM integration into the AU processes and structures and implement the same;

(ii) Take all necessary steps to ensure that APRM Secretariat's human resources, procurement, financial, accounting, auditing and other processes are fully aligned with relevant AU rules and regulations;

(iii) Organise training programmes for relevant staff to ensure APRM processes that will be already aligned are also internalised in the day-to-day operation of the institution;

(iv) Ensure that, in the process of integration, the legal status of the APRM Secretariat office and officers in the Republic of South Africa are addressed once and for all through an appropriate host country agreement signed between the AU and the Republic;

(v) Strive, in the process of integration, to ensure the APRM retains a modicum of independence and operational autonomy to adequately discharge its responsibilities;

(vi) Develop and adopt a detailed APRM MoU ratification campaign strategy and take it to each AU member state that is not within the APRM today;

(vii) Identify and make use of all available forums to engage senior policymakers from these countries, including through the organisation of a series of APRM accession workshops for these countries; and

(viii) Devise strategies to enhance APRM relevance for Africa's regional economic integration agenda.

#### **4.5 Expected outputs, related actions, responsible actors, and indicators of success/failure**

142. This section revisits the key priorities and expected outcomes and matches them up with the body that is responsible for follow-up and implementation, and the measurements and indicators of success and failure.

**Table 4.2: Expected outputs, related actions, responsible actors, and indicators of success/failure**

EXPECTED OUTPUTS	RELATED ACTIONS	RESPONSIBLE ACTORS	INDICATORS OF SUCCESS
<b>1. ADVOCACY AND COMMUNICATION</b>			
1.1. AU Shared Values systematically integrated into the entire value chain of APRM activities	<ol style="list-style-type: none"> <li>1. Adopt and adapt AU Shared Values into APRM programmes</li> <li>2. Ensure that AU Shared Values are reflected in entire value chain of APRM activities</li> </ol>	APRM Secretariat (coordinated by Office of the CEO)	AU Shared values fully integrated into APRM programmes
1.2. APRM systematically integrated into the African Governance Architecture (AGA) framework as a major player or component	<ol style="list-style-type: none"> <li>1. Initiate policy dialogues on linkages between APRM reviews and AGA</li> <li>2. Work closely with the AU Political Affairs Department to integrate APRM into the AGA framework</li> </ol>	APRM Secretariat (coordinated by Office of the CEO)	APRM integrated into the AGA framework
1.3. APRM engagement with civil society and research and academic institutions institutionalised	<ol style="list-style-type: none"> <li>1. Identify civil society and research and academic institutions for engagement</li> <li>2. Develop a detailed strategy on engagement with civil society and research and academic institutions</li> <li>3. Draw up and implement detailed engagement plans and schedules</li> <li>4. Work closely with identified civil society and research and academic institutions to build resources for the APRM Knowledge Hub</li> </ol>	APR Panel and APRM Secretariat (coordinated by Office of the CEO with active involvement from the Division of Knowledge Management and Communication)	<p>Number of civil society and research and academic institutions identified and engaged</p> <p>Number of research papers produced</p>
1.4. A communication strategy developed and implemented	<ol style="list-style-type: none"> <li>1. Develop a detailed awareness building, advocacy and communication strategy</li> <li>2. Draw and implement detailed awareness building, advocacy and communication plans and schedules</li> </ol>	APR Panel and APRM Secretariat (coordinated by Office of the CEO with active involvement from the Division of Knowledge Management and Communication)	<p>Number of communication channels identified and used</p> <p>Number of institutions/persons reached by each identified channel of communication</p> <p>Number of MoUs or other agreements signed with key players in the field</p> <p>Extent to which APRM influence in setting the agenda of the good governance discourse in Africa has improved (measured by citations, etc.)</p>
1.5. Media outreach/campaigns to market APRM's initiatives extensively conducted	<ol style="list-style-type: none"> <li>1. Develop a media campaign strategy</li> <li>2. Plan and conduct media campaigns to popularise APRM programmes</li> <li>3. Launch an aggressive media campaign</li> <li>4. Design and launch a new, more accessible and functional web site and available campaign leaflets on website</li> <li>5. Distribute campaign materials in conferences, workshops, etc.</li> </ol>	APRM Secretariat (coordinated by Office of the CEO with active involvement from the Division of Knowledge Management and Communication)	<p>Number of media coverage on campaigns conducted</p> <p>A new and more accessible and functional website accessed</p> <p>Quality and accessibility of website as envisaged by stakeholder feedback</p> <p>Number of hits to download campaign leaflets from the APRM website</p> <p>Number of campaign leaflets designed, printed, distributed, etc.</p> <p>Number of new Member States joining APRM</p>

EXPECTED OUTPUTS	RELATED ACTIONS	RESPONSIBLE ACTORS	INDICATORS OF SUCCESS
1.6. APRM annual reports regularly published	Regularly prepare and publish APRM annual reports	APRM Secretariat (coordinated by Office of the CEO with input from finance section and active involvement from the Division of Knowledge Management and Communication)	Number of annual reports published
<b>2. REVIEW AND IMPLEMENT THE APRM CORE MANDATE</b>			
2.1. The current APRM mandate is implemented in full, on the basis of a three-year calendar of missions agreed and approved in advance	Implement the current approved mandate of missions	APRM Secretariat (led by Office of the CEO)	Number of review missions undertaken Number of reports reviewed
2.2. A revised APRM mandate reflecting today's governance challenges and proposing policy options on the way forward is developed and submitted to decision makers for adoption	<ol style="list-style-type: none"> <li>1. Commission a study on the current governance issues on the Continent</li> <li>2. Review the APRM mandate to reflect today's governance issues and challenges</li> <li>3. Present a proposed revised mandate to decision makers for consideration and adoption</li> <li>4. Implement the revised mandate</li> </ol>	APR Panel and APRM Secretariat (led by Office of the CEO)	Number of questionnaires revised to reflect APRM's revised mandate Quality of review recommendations made
2.3. In the immediate short term, a Draft Declaration is submitted to the August 2016 APR Forum Meeting through which participating countries can renew their commitment to the vision, mission and operational objectives of the APRM	Prepare and submit a Draft Declaration to the August 2016 APR Forum Meeting through which participating countries can renew their commitment to the vision, mission and operational objectives the APRM	APR Panel and APRM Secretariat (led by Office of the CEO)	Quality of declaration submitted to the APRM Forum meeting in August 2016
2.4. APRM officially recognised as one of the mechanisms, in collaboration with other institutions, for monitoring Agenda 2063 and SDGs	<ol style="list-style-type: none"> <li>1. Initiate policy dialogues on linkages between APRM reviews, AGA, Agenda 2063 and 2030 SDGs</li> <li>2. Work closely with AU Organs and UN agencies to position APRM as one of the mechanisms, in collaboration with other institutions, for monitoring Agenda 2063 and the SDGs (Agenda 2030)</li> </ol>	APRM Secretariat (led by Office of the CEO with active involvement from the Thematic Research and Knowledge Management and Communication Divisions)	Number of detailed methods and processes agreed and officially adopted APRM officially recognised as one of the mechanisms, in collaboration with other institutions, for Agenda 2063 and the SDGs First monitoring and evaluation reports published Quality of monitoring and evaluation reports published Quality of working relations with relevant continental and global bodies established and strengthened Amount of extra resources mobilised to support work in this new area

EXPECTED OUTPUTS	RELATED ACTIONS	RESPONSIBLE ACTORS	INDICATORS OF SUCCESS
2.5. The role of regional and international rating agencies clearly identified, and a set of clear policy options and strategies on what the APRM can do in this area developed and submitted to decision-makers	<ol style="list-style-type: none"> <li>1. Conduct a scoping study to Identify regional and international rating agencies working in the area</li> <li>2. Conduct a detailed study on regional and international rating agencies' role and what linkages and collaborations can be established with APRM</li> <li>3. Validate study findings and make recommendations to policy organs</li> <li>4. Implement approved recommendations</li> </ol>	APRM Secretariat (led by Office of the CEO with active involvement from the Thematic Research and Knowledge Management and Communication Divisions)	<p>A database of regional and international rating agencies established</p> <p>Number of roles, linkages and collaborations established between regional and international rating agencies and APRM</p> <p>Number of approved recommendations implemented</p>
2.6. Impact assessment studies on the work of the APRM and its relevance for the day-to-day challenges of the ordinary African citizen completed	<ol style="list-style-type: none"> <li>1. Commission an impact assessment study on the work of APRM and its relevance to the challenges of the ordinary African citizen</li> <li>2. Validate study findings and make recommendations to policy organs</li> <li>3. Implement approved recommendations</li> </ol>	APRM Secretariat (led by Office of the CEO with active involvement from the Thematic Research and Knowledge Management and Communication Divisions)	<p>A set of study findings on the impacts of the work of APRM</p> <p>Number of approved recommendations implemented</p>
<b>3. FINANCIAL MANAGEMENT AND RESOURCE MOBILISATION</b>			
3.1. Resource mobilisation strategy developed and implemented	<ol style="list-style-type: none"> <li>1. Develop a detailed resource mobilisation strategy and launch a campaign</li> <li>2. Undertake follow up resource mobilisation missions to potential partners and Member States in arrears</li> <li>3. Implement, evaluate and submit quarterly progress reports on implementation of the resource mobilisation strategy</li> <li>4. Identify and approach potential partners/contributors from African companies, foundations and private individuals</li> <li>5. Approach and engage international partners and publicly acknowledge their contributions (unless they prefer otherwise)</li> <li>6. Working with strategic partners, recapitalise the APRM Trust Fund</li> <li>7. Establish fund-raising partnership platforms and forums</li> <li>8. Strengthen cooperation with existing Strategic Partner Institutions (UNDP, UNECA, AfDB) and formalise with two new partners (the African Capacity Building Foundation (ACBF) and the Mo Ibrahim Foundation)</li> </ol>	APRM Focal Points Committee and the Secretariat	<p>Increase in amount of financial resources mobilised</p> <p>Number of MoUs concluded with African Partner foundations and amount of money raised from same</p> <p>Number of MoUs concluded with international partners and amount of money raised from same</p> <p>Number of Fund-raising partnership platforms and forums established</p> <p>Trust fund resuscitated and recapitalised to the tune of USD 3.5 million</p>

EXPECTED OUTPUTS	RELATED ACTIONS	RESPONSIBLE ACTORS	INDICATORS OF SUCCESS
3.2. Member States' contributions paid timeously	<ol style="list-style-type: none"> <li>1. Engage Member States to review annual membership contributions, agree on renewed commitments and enforcement</li> <li>2. Approach Member States in arrears in several forums, including at the level of the APRM Forum</li> <li>3. Member States capable and willing to make special contributions approached, and when they make such contributions their generosity publicly acknowledged (unless they prefer otherwise)</li> </ol>	APRM Focal Points Committee and APRM Secretariat	<p>Number of Member States in arrears reduced by 50%</p> <p>Increase in annual membership contributions by 70%</p>
3.3. AU Financial rules and regulations, adopted and adapted	Budgeting, procurement, financial accounting and other administrative policies aligned to AU rules and regulations in place	APRM Secretariat assisted by the Finance Unit	<p>Accessible and real-time financial reports available</p> <p>Reduction in number of financial management queries</p>
3.4. Financial Management and Internal audit functions strengthened	<ol style="list-style-type: none"> <li>1. Put in place IT-based financial controls system</li> <li>2. Establish Internal Audit unit</li> </ol>	APRM Secretariat, AUC Internal audit, AUC Programme Budget and Financial Accounting	<p>Number of unqualified audit reports</p> <p>Percentage reduction of ineligible expenditures</p>
3.5. Regular quarterly meetings of Focal Points Subcommittee on Finance and Administration held	<ol style="list-style-type: none"> <li>1. Conduct regular, quarterly internal audit functions</li> <li>2. Establish Focal Point Sub-Committee on Admin and Finance</li> <li>3. Conduct quarterly meetings of Subcommittee</li> </ol>	APRM Focal Points Committee and APRM Secretariat	Number of decisions and recommendations made by Focal Point Sub-Committee
3.6. APRM annual audited reports published on the website	<ol style="list-style-type: none"> <li>1. Implement planned annual audit schedule</li> <li>2. Publish results after approval by Focal Point Committee</li> </ol>	APRM Focal Points Committee and APRM Secretariat (including KM division)	<p>APRM annual audit reports available on-line</p> <p>Increase in APRM Annual contributions</p> <p>Reduced number of Member States in arrears</p> <p>Increase in number of Member States making special contributions</p>
<b>4. HUMAN RESOURCE CAPACITY DEVELOPMENT</b>			
4.1 APRM organisational structure revised and aligned to AU positions grading and salary scales	Revise the APRM organisation structure and align it to AU positions grading and salary scales	APRM Focal Points Committee and APRM Secretariat	Revised and aligned organisational structure
4.2 APRM adopts and adapts AU Staff Rules and Regulations	Adopt and adapt AU Staff Rules and Regulations	APRM Focal Points Committee and APRM Secretariat	<p>AU-aligned Staff Rules and Regulations in place</p> <p>Clear operating procedures established as evidenced by number of staff who are fully aware of the staff rules and regulations</p> <p>Staff contracts standardised according to AU rules and regulations and a sense of stability introduced</p>

EXPECTED OUTPUTS	RELATED ACTIONS	RESPONSIBLE ACTORS	INDICATORS OF SUCCESS
4.3 APRM Human Resource Management Strategy developed and implemented	<ol style="list-style-type: none"> <li>1. Develop and align HRM strategy with relevant AU rules and regulations</li> <li>2. Implement HRM Strategy</li> </ol>	APRM Focal Points Committee and APRM Secretariat	<p>AU-aligned HRM Strategy in place</p> <p>Number of AU-aligned HRM systems and processes</p>
4.4 High calibre APRM Staff recruited and appointed	<ol style="list-style-type: none"> <li>1. Develop a recruitment strategy and align it with relevant AU rules and regulations</li> <li>2. Identify priority positions, develop job descriptions and person specifications and disseminate widely</li> <li>3. Recruit and appoint high calibre APRM Staff</li> </ol>	APRM Focal Points Committee and APRM Secretariat	Number of vacancies filled within set periods of time
4.5 APRM Staff retention strategy developed and implemented	Develop and implement APRM Staff Retention Strategy	APRM Focal Points Committee and APRM Secretariat	<p>Staff Retention Strategy in place</p> <p>Reduced staff turnover rate</p>
4.6 Performance Management institutionalised in APRM processes and practices	<ol style="list-style-type: none"> <li>1. Conduct staff trainings and experience-sharing sessions on Performance Management</li> <li>2. Develop and implement results-based work plans</li> <li>3. Regularly conduct semi-annual and annual performance-based staff appraisals</li> </ol>	APRM Focal Points Committee and APRM Secretariat	<p>Percentage increase in staff performance</p> <p>Extent to which the use of external consultants and temporary staff for country review missions reduced and that work being carried out by full-time staff increased</p>
<b>5. DEVELOPMENT OF MONITORING &amp; EVALUATION FRAMEWORKS AND SYSTEMS</b>			
5.1. A monitoring and evaluation framework for improved quality of internal and country review processes developed and operationalised	<ol style="list-style-type: none"> <li>1. Draft and submit for approval by APRM Committee of Focal Points detailed terms of reference for establishing a M&amp;E unit</li> <li>2. Establish a M&amp;E unit</li> <li>3. Recruit the appropriate experts to staff it</li> <li>4. Draft, adopt and launch new tools and approaches for follow-up, monitoring and evaluation</li> <li>5. Publish the first generation of M&amp;E reports</li> <li>6. Launch and conclude a formal review of all APRM documents, especially the self-assessment questionnaire</li> <li>7. Submit revised draft documents to the APRM Committee of Focal Points and subsequently to the APRM Forum for approval</li> <li>8. Commence the process of migration from paper-based to computer-based data collection and analysis processes in country reviews</li> </ol>	APR Panel and APRM Secretariat (led by Office of the CEO and with the Knowledge Management and Communication Division providing necessary technical input)	<p>M&amp;E unit established</p> <p>Quality and timeliness of new tools prepared, approved and launched</p> <p>Number of high calibre professional staff recruited</p> <p>Number of quality M&amp;E reports published during the strategic plan period</p> <p>Number of APRM documents reviewed, submitted and approved</p> <p>Extent to which paper-based reviews are phased out and computer-based reviews are phased in (by country)</p>

EXPECTED OUTPUTS	RELATED ACTIONS	RESPONSIBLE ACTORS	INDICATORS OF SUCCESS
<b>6. ENHANCEMENT OF RESEARCH AND DEVELOPMENT CAPACITY AND IMPROVEMENT OF TOOLS</b>			
6.1 Networks and structures are established with relevant research and advocacy institutions as well as consultants for increased research collaboration and enhanced participation of civil society in peer review processes	<ol style="list-style-type: none"> <li>1. Identify civil society and research organisations working in the area of governance</li> <li>2. Develop and implemented a detailed strategy for engagement with research and advocacy institutions as well as consultants</li> <li>3. Establish an APRM Research Consortium, comprising African think tanks and research organisations</li> <li>4. Undertake research and analytical work on African and international ratings agencies and present outcomes with recommended policy options; convene a meeting with Africa-based rating agencies</li> <li>5. Submit adopted policy recommendations for approval by the APRM Committee of Focal Points and later the APRM Forum</li> <li>6. Work with civil society to implement approved proposals</li> <li>7. Through the M&amp;E unit, institute a system of progress monitoring and reporting on a regular basis</li> </ol>	APR Panel and APRM Secretariat (led by the Knowledge Management and Communication Division with active involvement of the Divisions of Country Review, and Thematic Research and Coordination)	<p>Number of qualified agencies, consultants and civil society organisations identified</p> <p>An APRM Research Consortium established</p> <p>Number of progress reports published</p> <p>Quality of progress reports published</p> <p>Number of agreements, in the form of MoUs or other, concluded with African academic, research and other institutions</p>
6.2 Compliance with APRM recommendations and National Programmes of Action (NPOAs) at national level increased	Develop and implement a strategy to enhance compliance with APRM recommendations and NPOAs at national level	APR Panel and APRM Secretariat (led by the Knowledge Management and Communication Division with active involvement of the Divisions of Country Review, and Thematic Research and Coordination)	<p>Steps taken by the APRM decision making organs with a view to improving the degree of compliance with recommendations</p> <p>Number of NPOAs incorporated into national development plans and implemented with appropriate budget lines</p>
6.3 An APRM Knowledge Hub and Resource Centre established	Establish an APRM Knowledge Hub and Resource Centre	APR Panel and APRM Secretariat (led by the Knowledge Management and Communication Division with active involvement of the Divisions of Country Review, and Thematic Research and Coordination)	<p>Steps taken by the APRM decision making organs with a view to improving the degree of compliance with recommendations</p> <p>Number of NPOAs incorporated into national development plans and implemented with appropriate budget lines</p>

EXPECTED OUTPUTS	RELATED ACTIONS	RESPONSIBLE ACTORS	INDICATORS OF SUCCESS
<p>6.4 The quality of APRM Reviews noticeably enhanced through better tools, processes and streamlined questionnaire, leading to shorter timeframes and reduced cost of country reviews</p>	<ol style="list-style-type: none"> <li>1. Publish all public APRM documents in a logically structured manner that meets the state-of-the-art in the field</li> <li>2. Develop and launch new ways of engagement with stakeholders, including practitioner and/or academic workshops and symposia, internship opportunities for selected African graduate students, special agreements with selected African academic institutions, etc.</li> <li>3. Develop and launch new knowledge products, such as policy briefs, independent analyses, conference proceedings, peer-reviewed publications, etc.</li> </ol>	<p>APRM Secretariat (led by the Knowledge Management and Communication Division with active involvement of the Divisions of Country Review, and Thematic Research and Coordination)</p>	<p>Number of APRM documents published on the website</p> <p>Number of APRM internship alumni by the end of the strategic plan period</p> <p>Number of web-based publications</p> <p>Number of times the web-based publications have been accessed and their geographic spread</p> <p>Quality of web-based publications</p> <p>Ease of making qualitative judgment on any noticeable changes in the extent of compliance of reviewed countries with APRM recommendations</p>
<p><b>7. INTRA-APRM COORDINATION AND HARMONISATION</b></p>			
<p>7.1 Strengthened linkages and coordination between the APRM Secretariat and APR Panel and the national and regional structures, and with relevant AU organs, in the exercise of APRM mandate and programmes</p>	<ol style="list-style-type: none"> <li>1. Commission a study on linkages and coordination needs between the continental APRM Secretariat, its national and continental structures, and with relevant AU organs, in the exercise of APRM's mandate and programmes</li> <li>2. Validate study findings and recommendations and submit them to policy organs for review and approval</li> <li>3. Implement approved recommendations</li> <li>4. Consult relevant stakeholders and design a more appropriate model of engagement and collaboration between the continental APRM Secretariat and the national APRM organs</li> <li>5. Implement approved model of engagement</li> </ol>	<p>APRM Secretariat (Office of the CEO) in collaboration with APR Panel and the APRM Committee of Focal Points</p>	<p>Number and quality of recommendations on how to strengthen linkages and coordination between the continental APRM Secretariat, APR Panel the national and continental structures, and with relevant AU organs, in the exercise of APRM's mandate and programmes</p> <p>Increase in number and quality of interactions and collaborations between the APRM Secretariat, its national and continental structures, and with relevant AU organs, in the exercise of APRM mandate and programmes</p> <p>Number and quality of new experiences shared and lessons learnt among the various APRM organs</p>

EXPECTED OUTPUTS	RELATED ACTIONS	RESPONSIBLE ACTORS	INDICATORS OF SUCCESS
<b>8. INTEGRATION OF APRM INTO AU STRUCTURES, UNIVERSAL ACCESSION, AND ENHANCED APRM RELEVANCE TO AFRICAN REGIONAL INTEGRATION</b>			
8.1 The Statute on integration submitted to relevant APRM and AU structures for consideration and adoption, and strategies to enhance APRM relevance for Africa's regional integration agenda	<ol style="list-style-type: none"> <li>1. Initiate consultations on how best to integrate the APRM into the AU structures and processes and how to make APRM more relevant to Africa's regional integration agenda</li> <li>2. Draft the statute of integration as agreed during consultation process and submit to APRM and AU decision making organs for approval</li> <li>3. Implement integration decision by internalising the relevant rules and processes into the APRM daily operational processes</li> <li>4. Train appropriate staff to ensure internalisation happens smoothly and APRM can pass all subsequent auditing and accountability measures</li> <li>5. Establish closer working relations with relevant AU Organs, institutions and departments</li> </ol>	APRM Focal Points Committee, APR Panel and APRM Secretariat	<p>Statue on integration approved by APRM and AU decision making organs</p> <p>Enhanced level of engagement with regional integration initiatives</p> <p>Number of APRM internal processes, such as human resources, procurement, financial, accounting, auditing and such, that are fully aligned with relevant AU rules, regulations and processes</p> <p>Number of APRM Secretariat staff trained to internalise new rules, regulations and processes in the day-to-day practices of the APRM Secretariat</p> <p>Quality of working relationships with relevant AU Organs, institutions and departments</p>
8.2 APRM Secretariat management and governance systems aligned with relevant AU rules and regulations	<ol style="list-style-type: none"> <li>1. On the basis of APRM foundational documents, prepare detailed AU aligned criteria and guidelines on panel qualifications and selection processes and submit to APRM Forum for approval</li> <li>2. Operationalise approved guidelines by closely involving APRM Committee of Focal Points</li> <li>3. Draft clearer, more precise, and more detailed terms of engagement and submit them to the APRM Panel for its consideration and approval</li> <li>4. Submit agreed terms of engagement to APRM Forum for approval</li> <li>5. Implement approved terms of engagement strictly and professionally in the day-to-day operation of APRM activities</li> <li>6. In consultation with the chairperson of the APRM Panel, organise induction programmes for newly appointed panel members</li> </ol>	APRM Focal Points Committee and APRM Secretariat	<p>Quality of guidelines produced on panel qualifications</p> <p>Speed within which guidelines are submitted to the relevant APRM decision making bodies</p> <p>Entry into force of guidelines within the strategy plan period</p> <p>Number of new panel members appointed on the basis of new rules and guidelines</p> <p>Quality of terms of engagement produced</p> <p>Timeliness of terms of engagement produced</p> <p>Length of time it takes to get them agreed to by the APRM Panel and endorsed by the APRM Committee of Focal Points and the APRM Forum</p> <p>Extent to which administrative or benefits-related issues on the agenda of APRM Panel meetings are reduced</p> <p>Number of new panel members that received induction</p>

EXPECTED OUTPUTS	RELATED ACTIONS	RESPONSIBLE ACTORS	INDICATORS OF SUCCESS
8.3 APRM Secretariat legal status with the host government of the Republic of South Africa formalised	<ol style="list-style-type: none"> <li>1. Liaise with the Office of the AUC Legal Counsel to draft and prepare for signature a host agreement on the legal status of the APRM Secretariat with the Republic of South Africa</li> <li>2. Work closely with the Republic of South Africa to implement the provisions of the host agreement</li> </ol>	APRM Focal Points Committee and APRM Secretariat	Speed at which the legal status of the APRM Secretariat office and officers are clarified and streamlined through the signing of an appropriate host country agreement between the AU and the Republic of South Africa
8.4 Near-universal membership by AU Member States achieved	<ol style="list-style-type: none"> <li>1. Draft a strategy for universal accession campaign and submit it to decision makers for approval</li> <li>2. Undertake a campaign to engage with relevant stakeholders and accelerate progress toward universal accession to APRM by AU member states</li> </ol>	APRM Focal Points Committee and APRM Secretariat	Number of AU Member States acceding to APRM

# Chapter V: Implementation, Monitoring and Evaluation

## 5.1 Background

143. As reiterated, the APRM Strategic Plan 2016–2020 is the product of high level guidance from the Special Summit of the APR Forum, wide consultations among all its continental and national structures and expert input, including from the AU Commission department of strategic planning. Just as the development of the Strategic Plan required the active and constructive engagement of all stakeholders, so will its implementation over the next five years. That is why we stress that follow up and implementation of the Strategic Plan rests on our governance structure, the National Mechanisms, and our communication strategy.
144. The successful implementation of the Strategic Plan is dependent on the full and effective deployment of all APRM structures, starting from the APR Forum, the Committee of Focal Points, the APR Panel, and the APRM Secretariat at the continental level all the way to the Focal Points, National Governing Councils/Commissions, and the APRM secretariats at the national level. In order for the APRM project to succeed each of these national and continental organs will need to operate in a synchronised fashion and to succeed individually. Indeed, the APRM as a whole is as strong as its weakest parts. That is why the implementation plan for the APRM Strategic Plan 2016–2020 starts from a recapitulation of the tasks assigned to each of the APRM organs by our constitutive documents.

## 5.2 The APR Forum

145. The APR Forum, composed of the Heads of State and Government of all APRM-participating countries, is the highest decision-making organ of the APRM.
146. As stipulated in the 2012 APRM Operating Procedures (paragraphs 6–10), the APR Forum is headed by a Chairperson elected from among the participating Heads of State and Government, whose term of office shall not exceed 2 years.
147. In exercising its functions, the Forum is mandated to meet at least twice a year to consider review reports, undertake peer reviews and make other decisions relating to the management and implementation of the APRM.

## 5.3 The APRM Committee of Focal Points

148. Established by the 2012 APRM Operating Procedures, the APR Committee of Focal Points serves as an intermediary body between the APR Forum and the APR Secretariat. The Committee is composed of the Focal Points of Participating Countries of the APRM, with responsibility for, among others, budgetary processes and resource mobilisation.
149. The Committee exercises oversight over the APR Secretariat so as to ensure the highest possible level of professionalism, transparency, efficiency and accountability of all its activities. (see paragraphs 11–12 of the Operating Procedures). Accordingly, the Committee of Focal Points has the following responsibilities to discharge: “i. Proposing and recommending to the APR Forum the structure and staffing requirements of the APR Secretariat; ii. Recommending to the APR Forum the appointment of the Chief Executive Officer and other senior officials of the Secretariat; iii. Assess[ing] succession planning for the APR Secretariat’s key management issues and organisational changes; [and] iv. Assess[ing] and recommending to the APR Forum the work programme and the annual budget of the APR Secretariat” (paragraph 12).

## 5.4 The APR Panel

150. As articulated in its various decisions and resolutions, the APR Forum has bestowed enormous responsibilities on the Panel of Eminent Persons for the realisation of the governance vision embodied in the APRM initiative.
151. The APRM Base Document (paragraphs 6–12) confers extensive powers on the Panel with primary responsibility to “ensure the integrity of the [review] process”. (paragraph 10) The same paragraph also envisaged a Charter to be drawn up, which would outline the Panel’s “mission and duties”, “reporting arrangements” and secure its “independence, objectivity and integrity”. Likewise, the APRM Organisation and Processes document from 2003 also outlines the roles and responsibilities of the Panel in almost equally general terms as the Base Document and also refers to the anticipated Charter (see paragraphs 3.1–3.8), but the Charter never came into existence. The gap that resulted from this

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## 5.6 The National Organs

156. The APRM Country Guidelines encourage participating countries to put in place the following structures to facilitate the effective implementation of the APRM:
- (i) National APRM Focal Point, who should be a minister or senior official with direct access to the Head of State/Government in the country;
  - (ii) National Governing Council/Commission that is autonomous from the government, representative of all segments of society, responsible to provide strategic policy direction on the implementation of the APRM;
  - (iii) APRM Secretariat that is independent of government and provides technical and administrative support to the NGC and also serves as the bridge between national and continental APRM structures; and
  - (iv) Technical Research Institutions that provide independent and scientific input in the preparation of the country self-assessment reports.
157. While this is the recommended structure under the Guidelines, the practice across member states is far from uniform. The national Focal Points and Secretariats in different countries are located in different ministries or departments; the membership of the NGCs differ across countries; etc.
158. This lack of uniformity is, in itself, not necessarily a shortcoming. However, in order for the APRM Strategic Plan to be implemented effectively, member states will need to establish the necessary national structures in as close a form as recommended in our constituent documents, and with the necessary budgetary autonomy and diversity of membership that would enable these institutions to adequately discharge their vital responsibilities and thereby further enhance the legitimacy, ownership and impact of the APRM.

## 5.7 Conclusion

159. The APRM national and continental structures will need to be dynamic and resilient enough to remain relevant as standards and expectations on the APRM evolve. To mention a current example, at its Special Summit in January 2016, the APR Forum

identified the “role of the APRM in monitoring of the AU agenda 2063 and the post-2015 sustainable development goals (SDGs)” as one of six areas of strategic priority. The Special Summit particularly emphasised the risk of potential pressure coming from “the UN and other development partners for Africa to adopt and use other monitoring tools that would then run parallel to the APRM”, which the leaders wanted to avoid by pushing for the widespread use of the APRM as a unified monitoring tool for all commitments undertaken by participating states. If this effort succeeds, APRM national and continental organs will need to update their tools and models of operation to ensure they are able to discharge these new responsibilities. That is why the APRM Strategic Plan needs to be a dynamic blueprint for action that also accommodates the ever-changing demands placed on the Mechanism over time. APRM national and continental organs carry the ultimate responsibility to ensure the APRM Strategic Plan is implemented in this fashion.

160. The rest of this Chapter presents the implementation framework for the APRM Strategic Plan 2016–2020, including the Monitoring, Evaluation and Reporting framework, the communications plan and the enabling conditions necessary for the Strategic Plan to be a success.

## 5.8 Monitoring, Evaluation and Reporting on Implementation<sup>20</sup>

161. The M&E Framework for the Strategic Plan serves four main goals:
- (i) To inform the APRM and its stakeholders on a regular basis on progress in attaining the Strategic Plan outcomes and outputs;
  - (ii) To allow APRM and its stakeholders to evaluate progress and assess the need to revise outputs, targets and indicators as needed;
  - (iii) To allow for evidence-based decision making; and
  - (iv) To evaluate the efficiency of implementation by linking outcomes, outputs and activities to resources used.

<sup>20</sup> To ensure uniformity with AU practices, this section uses the M&E section of the AUC Strategic Plan for 2014–2017 as a template for Monitoring and Evaluation of the APRM Strategic Plan.

162. The M&E Framework is informed by the four principles of participation, transparency, accountability and providing SMART indicators (simple, measurable, achievable, reliable and timely).

#### What is to be Monitored and Evaluated?

163. Within the context of the Strategic Plan implementation the following will be monitored:

- (i) The level of achievement of the targets set against the indicators in the macro matrix on an annual basis;
- (ii) The level of achievement of the targets set against the indicators in the micro matrix on a quarterly/annual basis.

164. Within the context of implementation, the following will be evaluated among others:

- (i) Relevance: the continuing relevance of the plan goal and outcomes, the assumptions including the risks etc. during and after completion of plan implementation;
- (ii) Effectiveness: the extent to which the Strategic Plan goals, outcomes and outputs have been attained within the various timelines set in the macro and micro matrices;
- (iii) Efficiency: the extent to which the management of the Strategic Plan implementation including the design of the Plan at inception was correct based on hindsight; and whether expenditures incurred were within budget etc.

#### Monitoring Indicators through Targets

165. Indicators have been developed for each output in Table 4.2 and, for each indicator, the APRM will develop a corresponding target to be attained in each of the five years of the Strategic Plan period. A simple variance analysis – the target versus the actual for the year – forms the basis of assessing the progress towards the attainment of output and outcomes.

#### The Monitoring Cycle

166. The APRM structures that have a role to play in Monitoring & Evaluation are listed in Table 5.1, which also presents the hierarchy, the deliverables and their due dates as part of the proposal for monitoring the implementation of the Strategic Plan. In addition to this, there should also be a provision for regular internal and external audits of the Plan.

**Table 5.1: Monitoring Cycle**

LEVEL	DELIVERABLE	DUE
<b>Committee of Focal Points &amp; CEO of the APR Secretariat</b>	Approval of Work Plan and Budget for current year+1	April of preceding year
	Approval of Indicators and Target for current year+1	April of preceding year
<b>APR Secretariat divisions</b>	Quarterly/annual work plan and budget	March/June/September/December
	Quarterly/annual monitoring report	March/June/September/December

## 5.9 Strategic Plan Implementation and Evaluation

167. The keys for implementation of the Strategic Plan are the Annual APRM Work Plan and budget, which will report on progress in attaining outcomes and the forthcoming yearly targets. To ensure that the outcomes/outputs of the plan are relevant at least during the implementation period and the implementation is managed efficiently and effectively, two evaluations will be conducted.
- (i) A mid-term evaluation will be conducted during the second quarter of the third year of plan implementation (Q2, 2018). Insights from the evaluation will be used to rationalise the plan outcomes/outputs; the smartness of the indicators and their associated targets; the governance framework, the monitoring framework and the capacities of the managers/staff involved in the plan execution, monitoring and evaluation.
  - (ii) The second evaluation will take place during the third quarter of 2020, the fifth year of the plan. The timing of the evaluation is relevant – it will provide insights for the development of the second APRM strategic plan that would be taking place at that time. The focus of the evaluation, because of its proximity to plan completion, will be more on the achievement level of the outcomes/outputs, the continued relevance of the outcomes/outputs, effectiveness and efficiency of the management of the implementation.

## 5.10 The APRM communications strategy

168. The communication strategy is a crucial component of the overall APRM Strategic Plan 2016–2020. It defines and articulates our multifaceted methods of engagement with our diverse stakeholders in our efforts to effectively implement the APRM Strategic Plan over the next five years. As such, while the communications strategy remains central to the entire APRM Strategic Plan, two of the eight priority areas identified in the Plan are particularly pertinent to the communications agenda: Priority 1 on Shared Values Advocacy and Communication, and Priority 7 on Intra-APRM Coordination and Harmonisation.
169. A key commitment in the pursuit of the first Priority is to “develop and submit for approval a well-thought communication policy and [to] implement

the same”. The core purpose of Priority 7 is to ensure that APRM systems and processes at continental and national levels are coordinated and harmonised. Needless to say, a critical and cross-cutting element of those systems and processes relates to communication. The APRM communications strategy thus aims to harmonise the communication methods and processes in all APRM organs so as to help build the APRM profile, brand and visibility and enhance its ability to make meaningful improvements to the daily lives of ordinary African citizens. This harmonised and integrated Communication Strategy has been designed, and will be implemented, in such a way as to ensure the APRM Key Strategic Priorities as contained in the Strategic Plan are communicated systematically, persistently, innovatively and effectively.

170. The APRM long-term communications strategy is thus underpinned by seven main pillars that are interdependent and mutually reinforcing:
- (i) Shared Values Advocacy and Outreach;
  - (ii) Branding;
  - (iii) Publications;
  - (iv) Social Media;
  - (v) Events;
  - (vi) Campaigns; and
  - (vii) Civil Society Organisations Outreach.

## 5.11 Enabling Conditions

171. The following enabling conditions will ensure effective implementation of the Strategic Plan:
- (i) Member States need to ensure adequate funding of the Mechanism;
  - (ii) A culture of collaboration should be nurtured and strengthened, with the goal of prioritising the outcomes in the Strategic Plan;
  - (iii) Design and implementation of SMART targets within a robust Monitoring and Evaluation framework;
  - (iv) The Mechanism must acquire critical capacities and competencies required to advance its mission and vision; and
  - (v) The level of cooperation with Strategic Partner Institutions needs to be strengthened.

# Chapter VI: Programme Budget & Financing

## 6.1 Programme Budget

172. The total budget for the 2016–2020 Strategic Plan is USD \$50,072,890.00. Table 6.1 presents the budgetary allocations for each of the eight priority areas of the Strategic Plan.

## 6.2 Finance Arrangements

173. The options for financing the APRM Strategic Plan include:

- (i) Increased annual Member State contributions from the current USD 100,000 to USD 300,000 together with special contributions from some Member States;

- (ii) APRM/UNDP Trust Fund, which will need to be replenished, as part of ongoing efforts with the UNDP Regional Bureau for Africa;
- (iii) Strategic Partner contributions (UNDP, UNECA, AfDB, ACBF, and Mo Ibrahim Foundation); and
- (iv) Non-traditional donors, including the African private sector and the African diaspora.

174. Implementation of the APRM Strategic Plan will require sustainable and predictable sources of finance.

**Table 6.1: Strategic Plan 2016–2020 Budget by Outcome**

PRIORITIES	OUTCOMES	TOTAL BUDGET				
		2016	2017	2018	2019	2020
<b>1. Shared Values Advocacy and Communication:</b> Shared Values articulated in AU Assembly Declaration of 31 January 2011 integrated into APRM systems, processes, and activities systematically communicated and implemented	1.1 Shared Values articulated in AU Assembly Declaration of 31 January 2011 integrated into APRM systems, processes, and activities systematically communicated and implemented	\$1,386,000	\$1,626,000	\$1,006,000	\$656,000	\$606,000
<b>2. Review and Implement the APRM Core Mandate</b>	2.1 APRM Mandate reviewed, updated and implemented to reflect evolving developments; and 2.2 Draft declaration for countries to renew their commitments to the APRM prepared and submitted to the APRM Forum meeting in August 2016	\$3.5 million (equivalent to approved budget for 2016)	\$4 million	\$4 million	\$4 million	\$4 million
<b>3. Resource Mobilisation and Financial Management</b>	3.1 A financially sustainable and credible Secretariat	\$330,000	\$180,000	\$180,000	\$180,000	\$180,000
<b>4. Human Resource Capacity Development</b>	4.1 A fully capacitated Secretariat capable of effectively and efficiently implementing the broad mandate of the APRM put in place	\$2,085,392	\$3,924,424	\$4,690,042	\$5,585,659	\$6,257,373
<b>5. Development of Monitoring and Evaluation framework and systems</b>	5.1 Enhanced efficiency and effectiveness of peer review processes	\$70,000	\$260,000	\$50,000	\$50,000	\$50,000
<b>6. Enhance Research and Development capacity and improve operational tools</b>	6.1 Evidence-based national compliance with APRM review recommendations and National Programmes of Action (NPOAs)	\$100,000	\$100,000	\$100,000	\$100,000	\$100,000

PRIORITIES	OUTCOMES	TOTAL BUDGET				
		2016	2017	2018	2019	2020
<b>7. Improve coordination and harmonisation between the APRM Secretariat and its national and regional structures, as well as with relevant AU organs, in the exercise of its mandate and programmes</b>	7.1 Improved effectiveness and impact of APRM's programmes	\$50,0000	\$50,0000	\$50,0000	\$50,0000	\$50,0000
<b>8. Integrate the APRM into the AU structures and processes as envisaged in the Malabo Summit Decision 2014, and launch the campaign for accelerated universal accession</b>	8.1 APRM fully integrated into AU structures 8.2 Membership and participation in APRM initiatives increased	\$20,0000	\$150,0000	\$100,0000	\$100,0000	\$100,0000
<b>Annual Total:</b>		<b>\$7,541,392</b>	<b>\$10,290,424</b>	<b>\$10,176,042</b>	<b>\$10,721,659</b>	<b>\$11,343,373</b>
<b>Overall Total:</b>		<b>\$50,072,890</b>				

## Chapter VII: Conclusions

175. The APRM Strategic Plan clearly articulates the linkages between African governance and development priorities. It is the harmonious interface and relations between all the components of the APRM system (institutions, strategy and processes) that will produce powerful and mutually reinforcing results to improve governance on our Continent.

176. For effective delivery and impact of the APRM, the priorities and outcomes that are listed in the Strategic Plan must be effected as described in the preceding sections. If implemented, the APRM will achieve its vision of actualising transformative leadership and practice in the Africa we all want.





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