



GOVERNANCE  
SELF-ASSESSMENT  
TOOKLIT:  
A GUIDE FOR APRM  
REVIEW

VERSION 16/4/2018





## WELCOME

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The APRM Toolkit seeks to provide information on the institutional and political character of the APRM, and an instructive guideline of the principles, design and implementation of APRM business processes at continental and national level.

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# 1. ABBREVIATION AND ACRONYMS



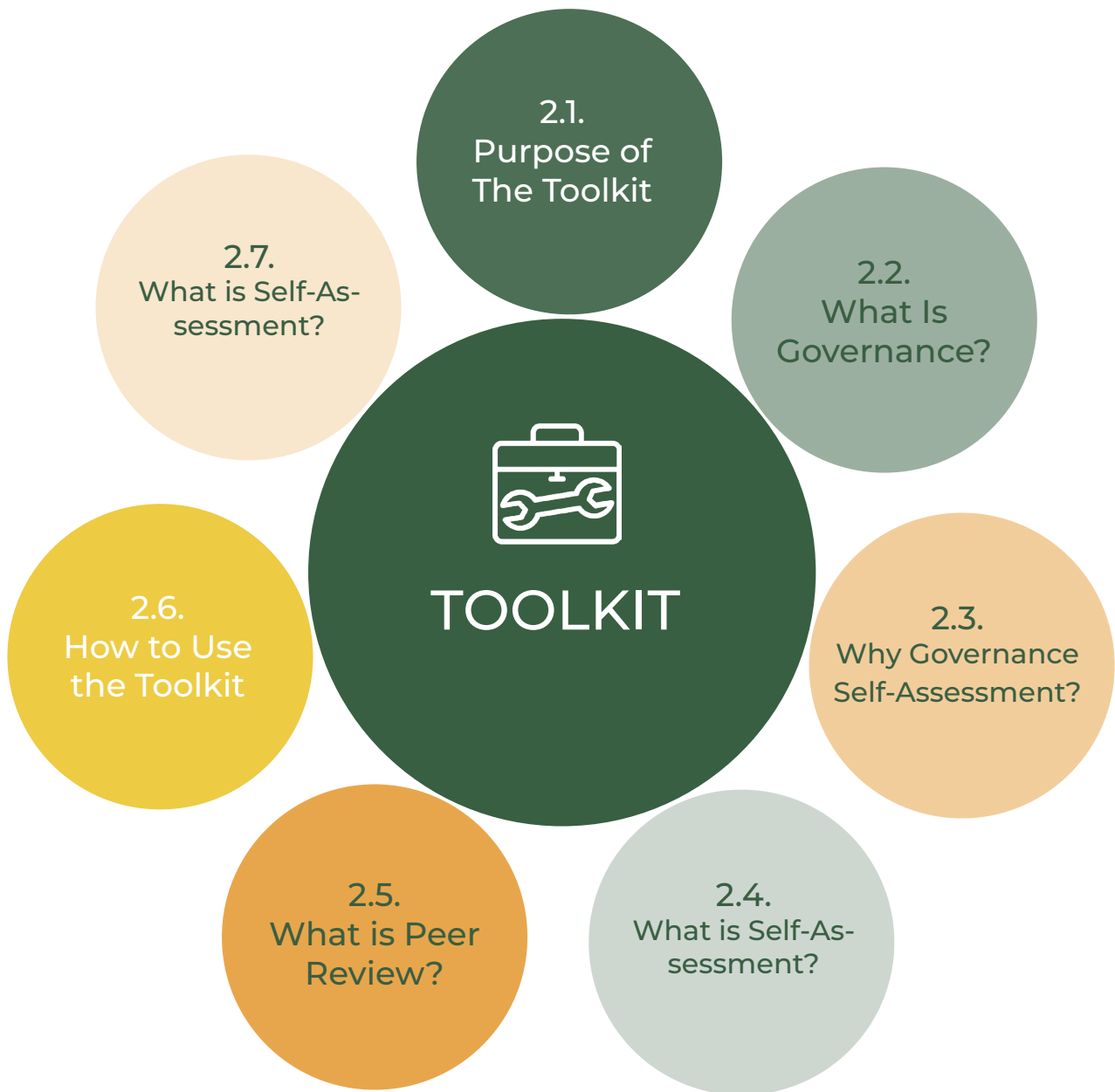
# ABBREVIATIONS AND ACRONYMS

<b>APR</b>	African Peer Review
<b>APR Focal Points</b>	The Ministerial body comprising the Personal Representatives of the Heads of State
<b>Committee</b>	Government of APRM Participating States of the African Peer Review Mechanism
<b>APR Forum</b>	The Committee of Heads of State and Government of Participating States of the African Peer Review Mechanism
<b>APR Panel</b>	The Panel of Eminent Persons of the African Peer Review Mechanism
<b>APRM</b>	African Peer Review Mechanism
<b>APR Forum</b>	The Committee of Heads of State and Government of Participating States of the African Peer Review Mechanism
<b>Assembly</b>	The Assembly of Heads of State and Government of the African Union
<b>AU</b>	African Union
<b>Commission</b>	The Commission of the African Union National APRM Governing Council
<b>NGC</b>	National APRM Governing Council



## 2. INTRODUCTION TO THE TOOLKIT

# INTRODUCTION TO THE TOOLKIT





## 2.1. Purpose of The Toolkit

The APRM Toolkit seeks to provide information on the institutional and political character of the APRM, and an instructive guideline of the principles, design and implementation of APRM business processes at continental and national level.

Accordingly, the Toolkit summarises the origins, evolution and legal persona of the APRM, its mandate as defined in the APRM Statute, key provisions from technical and operational guidelines and policies for the mechanism. Descriptive summaries of steps necessary for implementation of various APRM missions and related business processes have been outlined.

The APRM toolkit will assist member states; Focal Points, National Governing Councils, National APRM Secretariats; the APR Panel of Eminent Persons; the Continental Secretariat; and Strategic Partners to better prepare for country missions and related processes. In this regard, the Toolkit also highlights the roles of various entities in the mechanisms as well as that of its partners.



## 2.2. What Is Governance?

Governance is a broad concept covering all aspects of the way a country is governed, including its economic and social policies, regulatory framework, as well as adherence to the rule of law. A specific aspect of governance particular to the APRM is Public Governance which refers to the formal and informal arrangements that determine how public decisions are made and how public actions are carried out in respect of a country's constitutional values. Another pertinent concept key to the APRM process is that of good governance whose elements are accountability, transparency, efficiency, effectiveness, responsiveness and rule of law.

**NB:** *The APRM recognizes the links between good public governance, investment and development, and that part of the current challenge facing the continent is adapting public governance to socio-economic change.*

### 2.3. Why Governance Self-Assessment?

To facilitate a self-diagnostic, nationally-driven and owned process, that allows states and credible independent experts, to determine the state of governance in a country, and develop recommendations that facilitate adoption of policies, standards and practices that lead to political stability, high economic growth, sustainable and inclusive development, as well as accelerated regional and continental economic integration, through sharing of experiences and reinforcement of successful and best practices



### 2.4. What is Self-Assessment?

Self-Assessment is an internally-driven and led approach to an evaluation of the governance status quo of a country, undertaken by the subjects of the evaluation and validated by independent external experts. The assessment is designed to provide for an exclusive nationally implemented process from which a Country Self-Assessment Report is generated based on a standard APRM instrument.

### 2.5. What is Peer Review?

Peer review is the evaluation of the status of governance in a jurisdiction, by a body or persons of similar authority, mandate, competence and responsibility to that of the jurisdiction being evaluated. It constitutes a form of self-regulation against an agreed standard, by legitimate authorities or persons in similar positions of authority and responsibility.



### 2.6. How to Use the Toolkit

A toolkit is a collection of related information, resources that together guide users in carrying out specific tasks. This toolkit is intended as a guide for APRM stakeholders and staff to follow in the execution of a Peer Review.



### 3. INTRODUCTION TO THE APRM





## 3.1. Overview

The African Peer Review Mechanism (APRM) was established as a subsidiary organisation of the African Union and as a Specialised Agency within the AU structure in accordance with Article 5(2) of the Constitutive Act. The implementation of its mandate, the APRM has the primary purpose of fostering the adoption of policies, standards and practices that lead to political stability, high economic growth, sustainable and inclusive development, as well as accelerated regional and continental economic integration, through sharing of experiences and reinforcement of successful and best practices .

The African Peer Review Mechanism (APRM) is Africa's most innovative initiative designed to fill a serious gap in the longstanding continental effort to tackle governance challenges. Since the establishment of the Organisation of African Unity (OAU) in 1963, African states have subscribed to a large number of charters, conventions, treaties, declarations and other instruments with significant and binding substantive obligations to establish and operate rules-based, transparent and accountable governance institutions. However, Africa's enthusiasm to undertake substantive commitments in such fields as human rights, democracy and good political and economic governance has not always been matched by the political will to establish and operate the procedural and institutional mechanisms by which compliance with those commitments would be expedited, monitored and enforced. It is this important gap that the APRM aims to fill, albeit in a voluntary and non-coercive manner.



## 3.2. Founding and Entry into Force

The APRM initiative was first described in the NEPAD Declaration on Democracy, Political, Economic and Corporate Governance of 8 July 2002 as a voluntary mechanism that “seeks to promote adherence to and fulfilment of the commitments contained in this Declaration.”<sup>1</sup> In a Base Document they agreed on the same date, the African Union (AU) Heads of State and Government established the APRM as “an instrument voluntarily acceded to by Member States of the African Union as an African self-monitoring mechanism.”<sup>2</sup> A look at the background against which the NEPAD initiative itself came into existence will show that the “self” in “self-monitoring” is a reference to Africa as a whole rather than each African country individually.

The APRM that was envisaged by the NEPAD Declaration and the APRM Base Document was operationalised through a Memorandum of Understanding (the APRM MoU) the AU Heads of State and Government adopted in Abuja, Nigeria, on 09 March 2003.<sup>3</sup> Paragraph 31 of the APRM MoU required a minimum of five signatures for it to enter into force, a requirement that was surpassed easily as 11 countries signed the MoU on the same day.<sup>4</sup> The APRM was thus formally established on 09 March 2013 with a membership of 11 countries, a number that has since grown to 36.

The rising number of countries participating in the APRM is in line with the potential, and ambition, of the APRM to serve all African countries members of the African Union. In that spirit, at its meeting on 26 August 2016, the APR Forum of Heads of State and Government of Participating Countries resolved to declare the year 2018 to be the year of

APRM Universal Accession, thereby giving further impetus to the APRM’s goal of becoming a truly Pan-African institution.

## 3.3. Membership Obligations and Responsibilities

The APRM MoU and other constitutive documents provide that countries participating in the APRM undertake certain important obligations, including (1) to sign the MOU on Technical Assessments and the Country Review Visit; (2) to submit to periodic peer reviews and to be guided by agreed parameters for good political governance and good economic and corporate governance<sup>5</sup>; (3) to contribute fully to the funding of the APRM; (4) to develop a National Programme of Action; (5) to ensure the participation of all stakeholders in the process; and (6) to take all necessary steps for the implementation of the recommendations adopted at the completion of the review process.



### 3.4. Purpose and Mandate

The APRM was established to provide the institutional framework within which participating African governments would submit themselves to a process of periodic and systematic self- and peer-assessment, exchange of lessons and good practices, and informal peer pressure to nurture the development of democratic, transparent, accountable and effective governance across the continent. The primary purpose of the APRM is “to foster the adoption of policies, standards and practices that lead to political stability, high economic growth, sustainable development and accelerated sub-regional and continental economic integration through sharing of experiences and reinforcement of successful and best practice, including identifying deficiencies and assessing the needs for capacity building.”

To serve this purpose, the APRM Base Document provides its mandate as follows:

“The mandate of the African Peer Review Mechanism is 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. The APRM is the mutually agreed instrument for self-monitoring by the participating member governments.”

The NEPAD Declaration contains a catalogue of the most relevant and high-profile treaties, declarations and decisions that had been adopted under the aegis of the OAU over the years.

It was in recognition of the failure of those measures to produce the de-

sired outcome that the Declaration identified the two “grave” and “most urgent” challenges that Africa faces<sup>9</sup> – poverty eradication and fostering socio-economic development through democracy and good governance – which the Declaration termed NEPAD’s “twin objectives”. To achieve these objectives, and through the NEPAD Declaration, the participating Heads of State and Government launched a four-pronged work programme involving democracy and political governance; economic governance and management; corporate governance; and socio-economic development. The African Peer Review Mechanism was established as the means by which participating governments would assess, monitor, encourage, and support one another so as to ensure they live up to the high and elaborate standards contained or contemplated in that Declaration.

As indicated earlier, when the APRM was established, its membership was strictly limited to those countries that separately and wilfully agreed to participate. At its 28th Summit held in Addis Ababa, Ethiopia, on 30 and 31 January 2017, the African Union Assembly of Heads of State and Government decided that the African Peer Review Mechanism (APRM) “be strengthened to track implementation and oversee monitoring and evaluation in key governance areas on the continent”. The Decision also welcomed the “repositioning of the APRM to play a monitoring and evaluation role for the African Union Agenda 2063 and the United Nation Sustainable Development Goals Agenda 2030”.

The implications of these decisions are likely to be far-reaching, potentially taking the APRM beyond the confines of its current membership to a continental monitoring and evaluation organ for the entire African Union.



### 3.5. Institutional Framework

One of the unique features and strengths of the APRM is the integrated nature of its institutional structure at continental and national levels. Indeed, a number of APRM-participating countries, including Benin, Ghana and Nigeria, have pushed the integration further down to provincial and local levels by establishing APRM units within sub-national administrative bodies. But, in this section, we will consider the APRM institutional structure only at continental and national or member state levels.

#### The APRM Institutional Framework: Continental

At its establishment, the operation of the APRM was underpinned by a body of reasonably detailed rules and guidelines administered by three key organs: the APR Forum composed of the Heads of State and Government of all participating countries, which is the highest decision-making authority; the APR Panel of Eminent Persons that is responsible for overseeing the review process and ensuring its integrity; and the APRM Secretariat that provides secretarial, technical, coordinating and administrative support services for the APRM.

While this trilateral continental structure worked well for a while, a fourth organ composed of the national Focal Points – known as the APR Committee of Focal Points – was added in 2012 to further enhance and streamline the effectiveness of the Mechanism. The Committee was established under paragraph 11 of the 2012 APRM Operating Procedures to serve as “an intermediary body between the APR Forum and the APR Secretariat comprising the Focal Points of Participating Countries of the APRM”. The Committee has responsibility for, among others, budgetary processes, re-

source mobilization, and auditing of the APRM Trust Fund.<sup>15</sup> The Committee exercises supervision and oversight over the APR Secretariat and has the power to propose and recommend to the APR Forum the structure and staffing requirements of the APR Secretariat, the appointment of the Chief Executive Officer and other senior officials of the Secretariat, and assess and recommend to the APR Forum the work programme and the annual budget of the APR Secretariat.

The composition, mandate and leadership of the APR Panel has also undergone some changes over time. The two APRM founding documents from 2003 – i.e. the APRM Base Document (paras. 8-9) and the APRM Organisation and Processes (para. 3.4) – provided for a Panel composed of between five and seven persons, while the 2012 APRM Operating Procedures provide for between five and nine persons.<sup>17</sup> The original documents set a term of four years for members of the panel and five years for the chairperson. Indeed, the 2003 documents contemplated a chairperson who would be a full-time employee on a regular salary.<sup>18</sup> These provisions were never operationalised and, indeed, for all practical purposes, they have since been superseded by the 2012 APRM Operating Procedures.

The 2012 APRM Operating Procedures are very clear on the question of term of office and the chairperson:

“Term of office

“26. Members of the Panel will serve for up to four (4) years. In exceptional circumstances, the Forum can renew the term for a period of not more than one year.”

27. The Forum has the right to terminate any appointment on the basis of performance, conduct, conflict of interest or any other reason that the Forum may deem fit”.

“Appointment of the Chairperson of the APR Panel

“28. A Chairperson shall be elected from

among the members of the APR Panel and appointed by the APR Forum for one year, none renewable.

“29. A Vice Chair of the Panel shall be elected and appointed under the same terms and conditions of Chairperson of the Panel.”

In January 2017, the APR Forum adopted detailed Terms of Engagement that supplement the existing document by further elaborating on the duties, responsibilities, benefits and privileges of members of the APR Panel of Eminent Persons.

Finally, while the above three are the standing continental organs of the APRM, other important bodies include the APR Mission Teams that are constituted on an ad hoc and country-by-country basis to undertake the country review visits, and the APRM partner institutions that assist in the conduct of ‘technical assessments’ on countries undergoing review. These will be considered further down.

The APRM Institutional Framework: National

At the national level, while the responsibility for implementation of the NEPAD Declaration and for the operationalisation of the APRM resides with the respective heads of State and/or Government, the national processes are supported by a Focal Point, a national governing council/commission (NGC) and a national APRM secretariat. Many countries also engage technical research institutions (TRIs) in carrying out the country self-assessment processes as well as other technical tasks. The TRIs are now formally included in the APRM Statute as forming part of the national APRM structures.

“...each participating country must establish a Focal Point for the APR process, which should be at a Ministerial level, or a person that reports directly to the Head

of State or Government, with the necessary technical committees supporting it. The APR Focal Point can be established as an integral part of existing structures or as new ones. However, it is critical that the work of the APR Focal Point is inclusive, integrated and coordinated with existing policy-decision and medium-term planning processes.”

This same formulation has been retained by the APRM Statute, Article 15 which provides: “The APRM National Focal Point shall be a Minister or high-level Government official who reports directly to the Head of State or Government”.

When it comes to the National Governance Councils/Commissions (NGCs), however, the founding documents from 2003 are silent. But it did not take long for the APR Forum to realise that no credible review could take place in the absence of a structured, credible and representative national body such as the NGCs. That was why the APR Forum, at its inaugural meeting in 2004 in Kigali, Rwanda, approved the recommendation of the APR Panel that “participating countries immediately take steps to identify or establish broad-based and all-inclusive APRM National Coordinating Structures where they do not already exist”.

Since this decision, NGCs have grown to become the most important institutional player in the APRM review process at the national level.

In recognition of their role in the review process, the 2016 APRM Statute has put NGCs on a solid legal foundation. Under Article 16 of the APRM Statute, the NGCs are autonomous from Government, representative of “all key stakeholders in society” and responsible for, inter alia, provision of strategic policy guidance for the implementation of the APRM and for the conduct of a review that is “technically competent, credible and free from political manipulation”.

However, even the APRM Statute does not give NGCs a continental platform for coordination and consultation. To fill this perceived gap, an Interim Committee of the heads of NGCs held a meeting at APRM Secretariat premises in October 2016 to consider and decide whether such a platform would help strengthen the ability of the APRM to achieve its mission and, if so, how to institutionalise such a platform. The result was a proposal to establish a continental consultative committee of the heads of NGCs, which is still pending before the relevant APRM decision-making bodies.

### 3.6. Funding of The Mechanism

The work of the APRM is funded by contributions from its member states. While the founders of the APRM appear to contemplate the possibility of some degree of support from external partners, they also stressed that: “It is essential, however, that the APRM does not rely on external partners for funding, although such partnerships could be welcomed if they are managed in a way that clearly respects African ownership of the APRM and all its processes. Support from external partners should be sought mainly for the implementation of the Country Programme of Action and capacity building to improve performance in the weak areas.”

Accordingly, the APRM has largely relied on the regular and special contributions of its members for much of its operations. Since its establishment, the regular membership contribution has been USD 100,000.00 per year, but this was increased to USD 200,000.00 by the decision of the APR Forum in August 2016.

All external resources made available to the APRM previously have been put in

a UNDP-administered Trust Fund to ensure APRM operational decisions are not influenced, directly or indirectly, by the interests of resource donors. The Trust Fund has been depleted for several years now and is not functional at this time, but efforts to revive and recapitalise it are underway.



Finally, while the above three are the standing continental organs of the APRM, other important bodies include the APR Mission Teams that are constituted on an ad hoc and country-by-country basis to undertake the country review visits, and the APRM partner institutions that assist in the conduct of ‘technical assessments’ on countries undergoing review. These will be considered further down.

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## 4. APRM STRUCTURES





## 4. APRM STRUCTURES

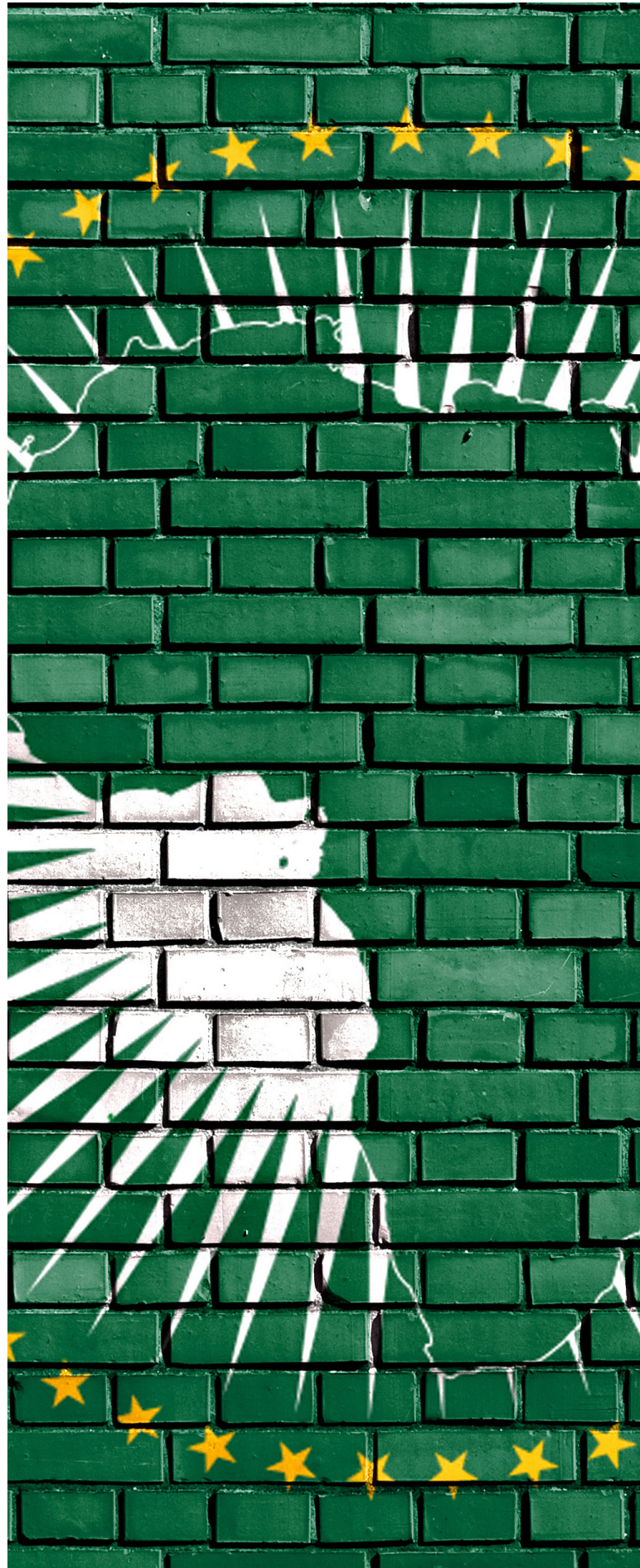
### 4.1 INTRODUCTION

APRM's founders conceived the APRM with a clear institutional framework, as described in the Organisation & Processes (O&P), published on 9 March 2003. The O&P document refers to the following institutions which are still in existence<sup>2</sup>:

- The Committee of Participating Heads of State and Government (The APR Heads of State Forum (APR Forum), which is the highest decision-making authority in the APRM;
- The Panel of Eminent Persons (APR Panel), appointed to oversee the review process to ensure the integrity of the process, to consider review reports and to make recommendations to the APR Forum;
- The APRM Secretariat (APR Secretariat) to provide the secretarial, technical, coordinating and administrative support services for the APRM; and
- The Country Review Team (APR Mission Team), appointed to visit the country to review progress with the country's Programme of Action and produce the APRM report on the country.

In 2012, as part of an organisational reform process initiated by the APR Forum, the Forum formalised the APR Committee of Focal Points, which had been until then convened by the APR Panel only ahead of APR Forum meetings. The Forum decided that, henceforth, the Committee of Focal Points would oversee the financial and administrative activities of the APRM and act as an intermediary between the APR Forum and APR Secretariat.

<sup>2</sup> Paragraph 1.1 of the APRM Organisation & Processes (O&P) document



In 2016, as part of the revitalisation year for APRM, APRM national governing councils and governance commissions began to meet regularly and act in consultation with each other so as to discuss common challenges and best practice in meeting their national mandates. This led, by the end of the year, to the creation of a Continental Consultative Committee of the National Governing Councils, a new continental body.

This paper will summarise the main roles and rules governing the five main institutional bodies of the APRM, namely the APR Forum, Panel, Committee of Focal Points, Secretariat, and NGC Consultative Committee. The source material is in large part the APRM Statute, supplemented where necessary by the 2012 Operating Procedures and APRM Base documents, as adopted by the APR Forum, and other APRM source material.

#### 4.2. The APR Forum<sup>3</sup>

The APR Forum comprises the Heads of State and Government of Participating States, and is the supreme decision-making organ of the APRM. The APRM Statute, as adopted by the Forum at its 25th Summit held in Nairobi in August 2016 specifies the responsibilities, and governing structure for the Forum, including among others that the Forum

- takes decisions on all matters under any of the APRM instruments;
- is guided by a Troika led by the Current Chairperson, who is assisted by the Immediate Past Chairperson and the Incoming Chairperson, all drawn from among the participating Heads of State and Government;

- appoints members of the APR Panel, its Chairperson and Vice Chairperson.
- Acts on the recommendations of the Focal Points Committee, the APR Forum shall take the final decision over the appointment of the CEO of the Continental Secretariat, the adoption of the structure of the APR Continental Secretariat, and the adoption of the budget and work programme of the APRM as an institution.
- considers, adopts and assumes ownership of country review reports submitted to it by the APR Panel of Eminent Persons.
- submits its recommendations to the Head of State of the reviewed Member State and follows up on the implementation of the review recommendations.
- On an annual basis, or as demanded by the exigencies obtaining at a given time, and for information purposes, the Chairperson of the APR Forum shares with the Assembly, country review reports, crisis reports, reports on the activities of the APRM, as well as proposals for the benefit of the whole membership of the African Union; and
- Meets at least twice a year in Ordinary Session; it may also hold extraordinary sessions whenever deemed necessary.

#### 4.3. The Focal Points Committee<sup>4</sup>

The APR Focal Points Committee (FPC) is a Ministerial body established under the 2012 Operating Procedures. The Committee comprises the Focal Points of Member States who are the Representatives of their respective Heads of State and Government.

<sup>3</sup> Article 9, APRM Statute

<sup>4</sup> Article 10, APRM Statute



The FPC serves as an intermediary between the APR Forum and the APR Continental Secretariat, and is led by a Troika comprising the Chairperson, who is the Focal Point of the Member State that holds the position of Chairperson of the APR Forum, assisted by his/her immediate predecessor and his/her immediate successor in that position.

The APR Focal Points Committee meets at least twice a year in ordinary session on the side-lines of, and preceding, the APR Forum, and may also meet in extraordinary session. A Steering Committee acts as an executive body of the full Committee in between meetings of the full Focal Points Committee, and is comprised of eight members including the three Focal Points forming the Troika, and five elected Focal Points representing each of the five regions of the African Union. The APRM Focal Points Committee also has a Sub-Committee for Administrative and Budgetary matters, and can create additional sub-committees as and when necessary.

The APR Focal Points Committee has the following responsibilities:

- Make recommendations to the APR Forum on the appointment of the CEO of the APRM Continental Secretariat;
- Review the annual budget and work programme of the APRM and make recommendations relating thereto to the APR Forum;
- Make recommendations to the APR Forum on the structure of the APRM Continental Secretariat;
- Oversee processes for resource mobilization for the APRM through Member States, partners and other donors; and

- Oversee the management of the APRM Trust Fund and audit reports.
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#### 4.4. The APR Panel of Eminent Persons<sup>5</sup>

The Members of the Panel of Eminent persons are appointed by the APR Forum in accordance with the qualification and selection criteria contained in Article 11 of the APRM Statute and paragraphs 13-14 of the 2012 APRM Operating Procedures. The Panel exercises its responsibilities in accordance with the principles outlined in Box 1:

**Box 1: Principles of the APR Panel**

- a. Professional competence, including intellectual capacity and commitment to lead country review processes, monitor the effective implementation of the National Programmes of Action, and carry out all other related responsibilities;
- b. Integrity, objectivity, impartiality and independence;
- c. The highest possible standard of moral standing and commitment to the ideals and aspirations of Pan-Africanism; and
- d. Avoidance of all situations that would put the member in, or create the perception of, conflict of interest between their responsibilities as members of the APR Panel and their private or other external interests.

The Members of the Panel are responsible for leading and participating in all review missions, committees or other taskforces as may be established by the APR Panel in the execution of its mandate and serve in their personal capacity and not as representatives of Governments or organizations.

<sup>5</sup>APRM Panel Terms of Engagement and Article 11, APRM Statute

In particular, they are responsible for:

- Ensuring the independence, professionalism and integrity of the Country Review Process
- Ensuring and sustaining the African ownership of the Country Review process;
- Overseeing the Country Review process;
- Ensuring that a comprehensive system of policies and procedures is operative;
- Ensuring ethical behaviour and compliance with relevant laws and regulations, audit and accounting principles, and the APRM governing documents and codes of conduct;
- Striving to act above and beyond the minimum requirements and benchmark performance against international best practices and not merely complying but being seen to comply in practice;
- Acting responsibly towards the APRM's relevant stakeholders; and,
- Reviewing, sustaining and strengthening relations with relevant stakeholders.

#### **4.5. The APR Continental Secretariat<sup>6</sup>**

The APR Continental Secretariat serves the APR Forum, APR Focal Points Committee and APR Panel. The Secretariat provides secretarial, technical, advisory, coordination and administrative support for the functioning of the APRM.

Among other responsibilities, the functions of the APR Secretariat include:

- Preparing the necessary background work, and facilitating, the country review processes, including support missions, country review missions, publication of reports and monitoring and follow-up;
- Maintaining an extensive database and information on the four areas of focus of the APRM including political and economic developments in all participating countries;
- Facilitating technical assistance to participating countries;
- Proposing performance indicators and tracking the performance of each participating countries;
- Liaising with participating countries and partner institutions to follow progress of technical assessments;
- Liaising with interested external partners and mobilizing support for participating countries for capacity building; and
- Ensuring full documentation of the APR processes at country, sub-regional and continental levels to facilitate learning.
- Undertaking and managing the research and analysis that underpins the APRM process; and
- Preparing and servicing the meetings of the APR Forum, APR Focal Points Committee and the APR Panel;

The APR 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 of the APRM and is responsible for submitting periodic updates and reports on all matters of an

<sup>6</sup> Article 12, Statute and APRM Base Documents

operational, financial and administrative nature concerning the APR Continental Secretariat to the Chairperson of the Focal Point Committee. The CEO submits APRM strategic plans, work programmes, draft budgets and annual audited accounts to the Focal Points Committee.

The CEO is also responsible for establishing close working relations with relevant Pan-African institutions including the Pan-African Parliament, the African Commission on Human and Peoples' Rights, the AU Peace and Security Council, the AU Early Warning System, the African Union Panel of the Wise, the African Union Advisory Board on Corruption Board, the African Committee of Experts on the Rights and Welfare of the Child and the African Union's Economic, Social and Cultural Council (ECOSOCC).

#### 4.6. The APRM Structures

The Guidelines for Countries to Prepare for and to Participate in the APRM (Country Guidelines) call for countries put in place relevant structures to facilitate the effective implementation of the APRM.<sup>7</sup> Thus, once a country accedes to the APRM, the Member State shall ensure that it abides with the objectives, standards, criteria and indicators for the APRM. The actual implementation of the APRM's mandate happens at the national level, which includes the country's self-assessment. Specifically relating to national structures of the APRM: The objectives, standards, criteria and standards for the APRM states that the objectives of the APRM can only be sustained through the Member State itself involving all stakeholders, which comprises developing a National Programme of Action incorporated into the national budgets relating to specific time frames.

As a result, the APRM grants Member States the right to implement and organise their structures according to their peculiar circumstances, if they abide by the objectives and guidelines for the APRM. This was further enunciated in section 1.4 of the objectives, standards, criteria and indicators for the APRM that 'given the differences of historical context and development, countries will start from different base lines and will not be expected to reach their highest level of performance at the same time'.<sup>8</sup>

In the subsequent paragraphs, this chapter will emphasize on the APRM institutional arrangements at the national level. The National Structures form an integral part of the APRM. Thus, the organization of an inclusive and active national structure to implement the APRM mandate is pivotal to the success of the APRM process. The participation at the national level of distinct key stakeholders in the APRM is a significant aspect of enhancing the state of governance and socio-economic development in the APRM participating country. Such interactions can build trust, establish and clarify mechanisms for ongoing engagement and empowerment of stakeholders.

In addition, an important role of the APRM is to promote citizens' participation on how a country is governed. Therefore, sensitization and awareness creation is important in achieving this as well as APRM's institutional arrangements that member states are encouraged to put in place. These national structures should be inclusive and impartial devoid of government interests.

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<sup>7</sup> Supplementary Document to APRM Guidelines for Country Review. APRM/Supplementary Doc to APRM Guidelines/ 06 2016

<sup>8</sup> The objectives, standards, criteria and indicators for the APRM. NEPAD/HSGIC-03-2003/APRM/Guideline/OSCI 9 March 2003.

In member states, the nature of APRM national structures have varied. Once an APRM member state signs the memorandum of understanding, it has a mandate to commence the process of setting up national structures that will oversee the implementation and ensure participation of different stakeholders at national level. Key APRM institutions at the national level include:

- A National Focal Point
- A National Governing Council
- A National Secretariat

#### 4.7. The Committee of Focal Points

Every member state must establish a focal point for the APRM process. The National Focal Point is a liaison between the Member State and the APRM. They are the political and technical advisors to the APR Forum members as they play an important role in preparing APR Forum members for meetings and regularly discussing crucial matters affecting the APRM. The National Focal Point is usually at a ministerial level, or a person that reports directly to the head of state or government, with the necessary technical committees supporting it. This is because for decisions to be easily made and carried out, the APRM needs the backing of the highest political authority to remove any clog in the implementation of the APRM process. It is pertinent that the work of the focal point is inclusive, integrated and coordinated with existing policy decision and medium-term planning processes. They are usually responsible for setting up the National Governing Councils and other national structures such as the APRM National Secretariat to carry out the Country's responsibilities towards the APRM.

#### 4.8. National Commission/Governing Council<sup>9</sup>

The National Commission as it is called in the Francophone countries or the National Governing Council in the Anglophone countries provides strategic policy direction to the implementation of the APRM. The NGC is led by a Chairperson. They are representatives of a multi-stakeholder board to oversee the composition of the Country Self-Assessment Report (CSAR) and ensure the integrity of the national process. They vary widely in size, proportion of members and autonomy. They are inclusive of all national key stakeholders and ensure that broad-based participation is met. The NGC is independent of the government.

#### In article 16, the NGC shall:

The NGC shall:

- a. provides strategic policy guidance for the implementation of the APRM;
- b. Facilitate the establishment of the APRM National Secretariat and oversee its operation;
- c. ensure that the review process is technically competent, credible and free from political manipulation;
- d. leads the APRM sensitization programmes country-wide and ensure that all stakeholders participate in the process and own it; and
- e. ensure that all the concerns outlined in the self-assessment reports and in the country review reports are addressed in the National Programmes of Action (NOPA) which meet all the agreed criteria.

<sup>9</sup> Article 16 of the Statute of the African Peer Review Mechanism.

Subsequently, the establishment of the NGC in various Member states must be determined by their terms of reference, terms of service and duration of appointment of the Chairperson and other members, funding as well as their legal status constituted through normal government processes of announcements through Government Gazettes.

#### **4.9. The APRM Secretariat<sup>10</sup>**

The National Secretariat shall be established in every Member State of the APRM. It is a technical unit providing administrative, logistical and research support for the NGC/NC. Duties include organising NGC meetings, building a stakeholder database, sending invitations, organising events, communication, sensitisation, and reporting on implementation, among others. The APRM National Secretariat is the liaison between the NGC and the APRM Continental Secretariat and shall facilitate and support the work of the Technical Research Institutes (TRIs).

#### **4.10. Strategic Partners**

In APRM parlance today, there are two types of partner institutions: a small number of institutions that are particularly known as “strategic partners” and others that simply go as “partners”. The constitutive documents from 2003 did not make such a distinction; instead, they simply refer to the APRM “Partner Institutions”.<sup>23</sup> But the APRM Statute, following the practice that has been in place for a while, has formally recognised the concept of “strategic partners” saying: “The APRM shall work closely with Strategic Partners which are external to the AU”.

<sup>24</sup> The APR Forum has the exclusive power to decide which international institutions may be accorded the status of “Strategic Partners”.

Accordingly, the APR Forum has conferred strategic partner status on five institutions today. Of these, three institutions that have been in this position for a long time: the African Development Bank (AfDB) and the United Nations Economic Commission for Africa (UNECA) were designated as partners already in the APRM Organisation and Processes document<sup>25</sup> from 2003, while the United Nations Development Programme (UNDP) was so designated by a decision of the APR Forum at its first summit held in Kigali, Rwanda, in February 2004. Under those documents, the APRM Strategic Partners were described as “the institutions that will conduct the technical assessments on countries to be reviewed.”<sup>26</sup> More specifically, while the UNECA was mandated to conduct technical assessments in “economic governance and management”, the AfDB was to do the same in the areas of “banking and financial standards”. The UNDP, on the other hand, was mandated to provide support to the APRM to facilitate the review processes, including through its extensive network of country offices in Africa. By a decision of 26 August 2016, the APR Forum added the African Capacity Building Foundation (ACBF) and the Mo Ibrahim Foundation (MIF) to the list of strategic partners. The relationship between the APRM and the strategic partners is currently guided by a Memorandum of Understanding concluded by the APRM Secretariat with each of these institutions.

#### **4.11. The APRM and African Union Institutions**

The APRM was created by decisions of the Pan-African institution, the AU Assembly of Heads of State and Government, and it was mandated to work closely with such AU institutions as the African Commission

<sup>10</sup> Article 17 of the Statute of the African Peer Review Mechanism



on Human and Peoples' Rights (ACHPR), the African Committee of the Experts on the Rights and Welfare of the Child, the Peace and Security Council (PSC), Pan-African Parliament (PAP), or any other organ, committee or unit of the AU.

It is worth noting that the Assembly decided to establish the APRM as a quasi-independent institution whose membership would be limited to those who voluntarily opted to accede to its founding Memorandum of Understanding (the APRM MoU). Yet, while the principle of voluntarism remains intact to this day, fundamental changes have taken place in its relationship with the AU. At the 23rd Summit of the 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.

The integration process had to strike a delicate balance between maintaining the voluntary nature and operational independence of the APRM, on the one hand, and the application of AU standard procedures in administrative, financial and human resources management, on the other. The outcome was the adoption of the APRM Statute in August 2016 by the APR Forum, which establishes the APRM as a Specialised Agency within the AU.<sup>28</sup> The Statute entered into force provisionally on 26 August 2016, while it will enter into force definitively upon its adoption by the AU Assembly, which is expected to happen in June 2017.

#### **4.12. Proposed Continental Consultative Committee of The National Governing Councils <sup>11</sup>**

The African Peer Review Mechanism (APRM) first consultation on the National Governing Councils (NGC) was convened in Midrand, South Africa from

the 3rd to the 4th of October 2016. One of the major objectives of the gathering was to go back to the roots and original vision of the mechanism. In this regard, participants agreed on the creation of a Continental Consultative Committee of National Governing Commissions, to assist with attaining the overall vision of a strong and credible APRM.

The Continental Consultative Committee is led by a Bureau comprising five (5) members elected or designated by Regional Consultative Committees representing respectively each African sub-region. The Bureau shall designate, by regional rotation, the Chairperson and the Vice-Chairperson of the continental consultative Committee from among its members.

#### **The objectives of the Continental Consultative Committee include to:**

- Strengthen the crucial role the NGCs could play in the successful implementation of the APRM in the continent;
- Serve as a platform for discussions of issues such as their involvement in the review of other countries, their autonomy, their independence, their funding and their role in post-review monitoring of the implementation of the APRM National Programme of Action (NPOA);
- Provide strategic policy direction to the implementation of the APRM;
- Assist in the formulation of guidelines along which agreements among NGCs in the political, economic, enterprises and socioeconomic development fields shall be reached;

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<sup>11</sup> From the Draft Terms of Reference for the creation and operation of a Continental Consultative Committee of the National Governing Councils as sent via email by the Secretary to the Committee on 15 February 2017



- Strengthen all efforts aimed at bringing about and maintaining good governance in the African region.

The APRM institutional structure is routinely reviewed. The roles and responsibilities of each structure are accordingly defined to ensure accountability and better performance.



## 5. THE APRM PROCESS



# 5. THE APRM PROCESS

## 5.1. INTRODUCTION

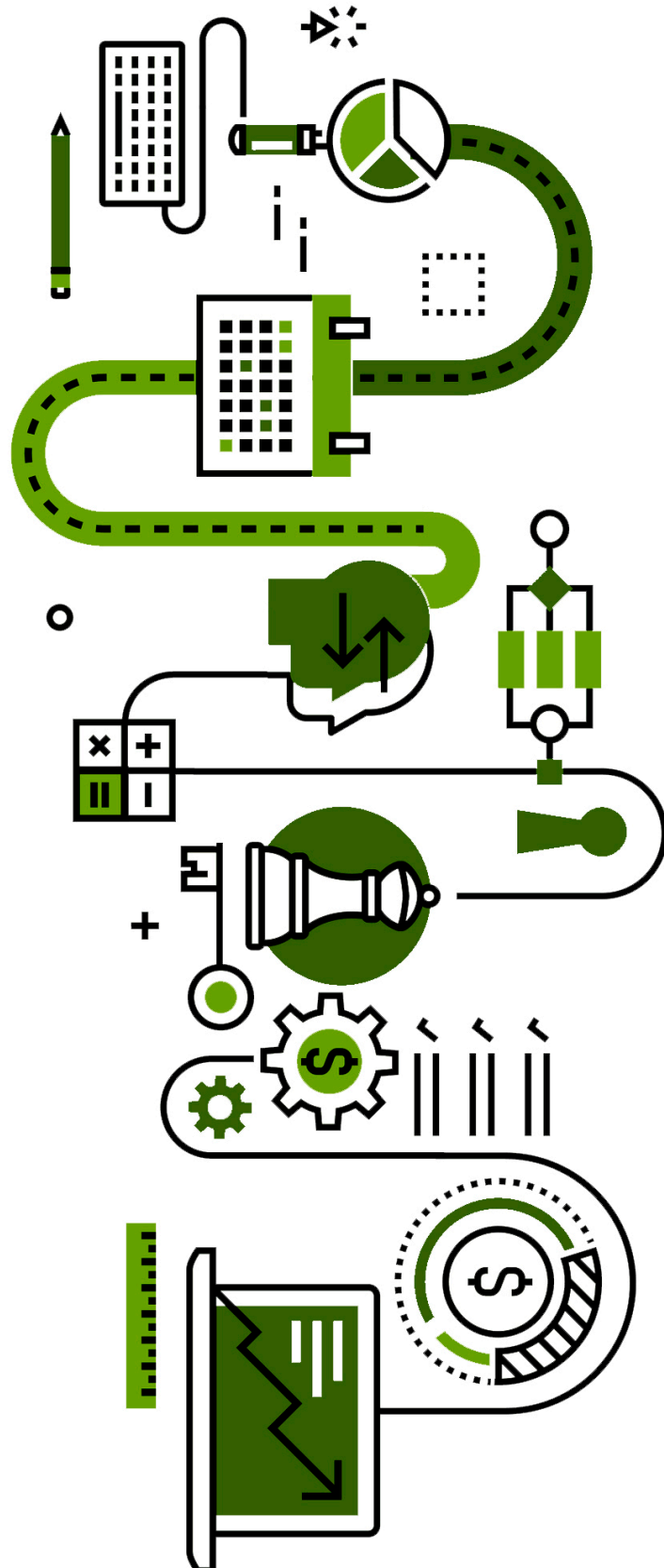
The APRM process entails periodic reviews of the policies and practices of participating states to ascertain progress being made towards achieving mutually agreed goals and compliance with agreed political, economic and corporate governance values, codes and standards as outlined in the Declaration on Democracy, Political, Economic and Corporate Governance.

The APRM Country process is conducted under the leadership of the APR Panel and the technical support of the APR Secretariat. 2 The purpose of this chapter is to describe the process which is undertaken while undergoing country review. The APRM process consists of six stages as explained in detail below.

## 5.2. Review Cycle

As it is identified by the APRM Base document, the APR process is composed of five consecutive and compulsory stages. Once a country has acceded to the APRM, the APR Secretariat will arrange a mission to the country with a view to negotiate the exact terms of the Memorandum of Understanding (MOU) on Technical Assessment and Country Review Visit using the outline provided.

When the Memorandum of Understanding between the APR Forum and the Government is signed the stage is set for the APR process to start. As the APR process is conceived as a collaborative effort between the participating country and the APRM to improve governance and socio-economic development in the country and in Africa, their respective stages roles will be outlined in the following sections.



## STAGE ONE



Stage One involves the preparatory process both at the level of the APR Secretariat, and at the national level. At this stage, the country is expected to put in place the requisite national structures for participation in the mechanism (designation of Focal Point, setting up of national commission and secretariat and selection of technical research institutions to lead the self-assessment process.

The APRM Continental Secretariat on its part prepares a background paper on the political, economic and corporate governance and development environment in the country to be reviewed, based principally on up-to-date desk research and material provided by national, sub-regional, regional and international institutions.

**In stage one the country is also expected to undertake broad sensitization on the APRM. Stage one may be summarised as follows:**

i.

Under the direction of the APR Panel, the APR Secretariat will send to countries to be reviewed a questionnaire on the four areas of the APRM, namely, Democracy and Political Governance, Economic Governance and Management, Corporate Governance, and Socio-Economic Development;



ii.

The country develops a self-assessment based on the questionnaire, and with the assistance, if necessary, of the APR Secretariat and/or relevant Partner Institutions.



iii.

Having completed the self-assessment, the country will formulate a preliminary Programme of Action building on existing policies, programmes and projects;



iv.

Both the self-assessment and the preliminary Programme of Action are submitted to the APR Secretariat, which, during the same period, has developed a Background Document on the country through desk research and gathering all available current and pertinent information on the country's situation on governance and development status in economic, political, social and corporate areas;

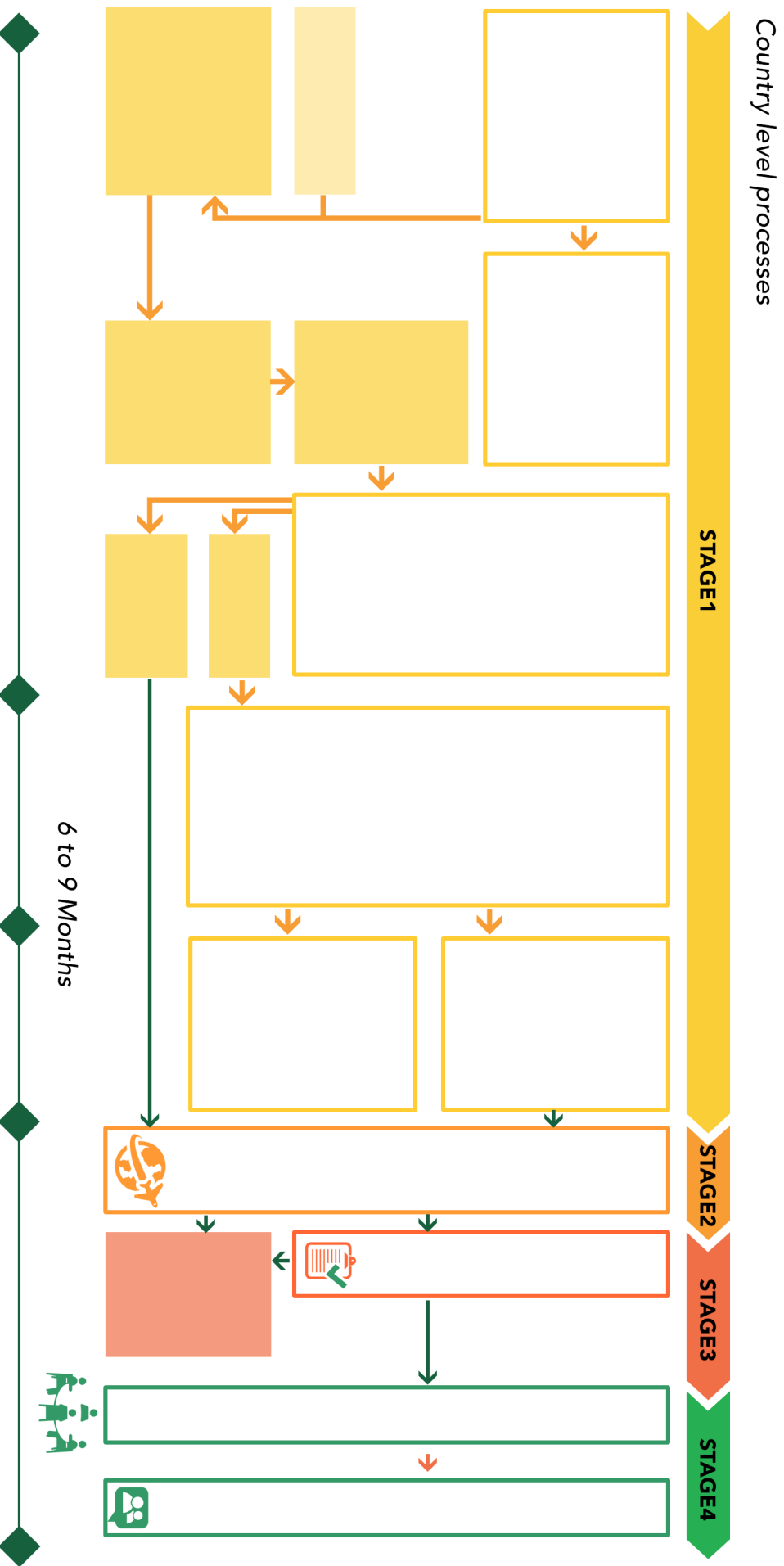


v.

With the information provided in the Self-Assessment, the preliminary Programme of Action, and the Background Document, the Secretariat draws up an Issues Paper that will guide the country review process. While the Secretariat must be the lead agency in the development of the Issues Paper, it may request the assistance of the Partner Institutions and other technical experts;



**Figure 1 : APR Processes**



There are also some preparatory missions that may be fielded in stage one.



## 1.1. COUNTRY ADVANCE MISSIONS (CAMS)

CAMs are normally undertaken by the APRM Continental Secretariat and consist of bilateral meetings with relevant technical officials of the country to assist them to prepare for the onset of the review process in the countries. In the event of blockage or need for high level political intervention, an advance mission may be led by a Panel Member. Advance Missions last for 2-3 working days and comprise either two secretariat officials or the lead Panelist and the supporting secretariat officers.

It is important that all members of the Country Advance Mission are briefed on the objectives of the mission and are fully conversant with the APRM base documents and those directly relevant to the objectives of the mission.

To achieve this, a Briefing Package is prepared for each mission and distributed to members of the mission at least a week before the mission. The Briefing package for CAM should contain:

- a) Brief Profile of the Country
- b) A Note of the current office holder and officials in the organizations that have mandates in the of the APRM.
- c) The Guideline for Countries in preparing for and participating in the APRM
- d) The Questionnaire
- e) The programme for the CAM

The CAM essentially should start with a brief orientation session in the country before the official programme starts to build a common understanding and to clarify any issues of concern to any member of the mission.

Deliberation of the advance mission focus on:

- a) Establishment of national structures

to manage APRM activities including designation of a Focal Point, establishment of National Commission/Council and national secretariat to support the implementation of the APRM in the country

- b) Sensitization of stakeholders on the APRM
- c) Allocation of budget for the review activities
- d) The timeframe and programme of the support mission and
- e) Introduction of the MOU for Technical Assessments and Country Review Missions

## 1.2. THE COUNTRY SUPPORT MISSION (CSM)

The Second mission that may be fielded in the preparatory stage is the CSM whose purpose is to assess the status of preparedness of the country to begin the review process and culminates in the official launching of the APRM process.

The CSM usually lasts for 3-4 days, and is led by a member of the APR Panel accompanied by APR Continental Secretariat staff. The Support Mission may also include representatives of the APRM's strategic partners: the African Development Bank (AfDB), UN Economic Commission for Africa (ECA), the UNDP Regional Bureau for Africa (UNDP RBA), the African Capacity Building Foundation (ACBF) and Mo Ibrahim Foundation, as there may be discussions during the mission requiring their technical expertise.

It is important that all members of the CSM are briefed on the objectives of the mission and are fully conversant with the APRM base documents and those directly relevant to the objectives of the mission. To achieve this, a Briefing Package will be prepared for each mission and distributed to members of the mission at least a week before the mission. The Briefing package for the CSM should contain the following items:



- a) A Brief Profile of the Country
- b) A Note on the current office holder and officials in the organization that have mandates in the areas of the APRM.
- c) The Guidelines for Countries in preparing for and participating in the APRM
- d) The Memorandum of Understanding to be signed
- e) The Questionnaire
- f) The programme for the CSM
- g) The Country Focal Point's report on the APR organization and process and strategy for making the self-assessment and preparing the preliminary Programme of Action.

The CSM will then start with a brief orientation session in the country before the official programme starts to build common understanding and to clarify any issues of concern to any member of the mission.

In addition to the assessing the status of preparedness of the country based on the prerequisites discussed during the advance mission, the CSM will also elaborate a road map or timeline for countries to participate in the APRM process. This road map of activities including the process of selection of the Technical Research Institutions (TRIs), writing, consolidation and validation of the Country Self-assessment report (CSAR) and establishing base criteria for research methodologies to be used.

The CSM should also carry more detailed discussions on the questionnaire for country Self-assessment and the budget to support the agreed road map.

The Support Mission is a major event which should culminate in the inauguration of the National Governing Council and the signing of the MOU to officially launch the country review process.

Following the CSM, the country continues with the sensitization process and embarks on the self-assessment pro-

cess on earnest.

Stage-One ends when the country to be reviewed has provided sufficient information on the country, including the draft country Programme of Action to the APR Secretariat and the Secretariat has prepared a background document and issues paper on the country including the proposal on the APR Mission Team to the APR Panel.



## STAGE TWO



Stage-Two is the Country Review Mission. Review missions are the core of the APRM process. Under the leadership of the APR Panel, the Country Review Team (CRT) visits the country concerned where its priority order of business will be to carry out the widest possible range of consultations with the Government, officials, political parties, parliamentarians and representatives of civil society organisations including the media, academia, trade unions, business and professional bodies. The main purpose will be to learn about the perspectives of the different stakeholders on governance in the country and to clarify the issues identified in the Issues Paper that are not considered in the preliminary Programme of Action of the country, and to build consensus on how these could be addressed.

This stage is informed by the analysis prepared in Stage One. It will involve processes outlined in the MOU. The APR Mission Team will interact and consult extensively with government officials, parliamentarians, representatives of political parties, the business community, representatives of civil society (including media, academia, trade unions, non-governmental organisations (NGOs), community-based organisations (CBOs)), rural communities and representatives of international organizations.

These consultations and briefing meetings are intended to serve a few purposes: First, they provide an opportunity for the APR Mission Team to interact with the key stakeholders in the country and to brief them on the APRM processes, spirit and guiding principles.

Second, the visit is an opportunity for the APR Mission Team to discuss the draft Programme of Action that the country has drawn up to improve their governance and socio-economic development, to provide positive reinforcement for the sound aspects and to address identified weaknesses and shortcomings in the various areas of governance and development.

Third, the consultations will also serve to build consensus with the stakeholders on the remaining issues or challenge areas and the steps that need to be taken to address them. These findings would then form the basis for the Team's recommendations on required improvements in the final draft Country Programme of Action.

Review missions need to be well planned and executed. A well-planned Review Mission can lead to the following three desirable outcomes:

a) A comfortable period for completing the peer review;



b) Good relations with the focal point and APRM Commission/ Council of the country being reviewed; and



c) Enthusiastic consultants and APRM staff eager for and another review mission challenge.





## STAGE THREE



Stage-Three is the drafting of the Team's report. The report is prepared based on the Background Document, the Country Self-Assessment Report and the Issues Paper prepared by the APRM Secretariat, and the information provided in country by official and unofficial sources during the wide-ranging consultations and interactions with all stakeholders. The draft report must consider the applicable political, economic and corporate governance and socio-economic development commitments made in the preliminary Programme of Action, identify any remaining weaknesses, and recommend on further actions that should be included in the final Programme of Action. The draft report will need to be clear and specific on the required actions in instances where outstanding issues are identified.

The draft report is first discussed with the government concerned. Those discussions will be designed to ensure the accuracy of the information and to provide the government with an opportunity both to react to the team's findings and to put forward its own views on how the identified shortcomings may be addressed. These responses of the government will be appended to the Team's report. The country at this stage finalises its Programme of Action taking into account the conclusions and recommendations of the Draft Report.

The recommendations of the team's report should focus on how the National Programme of Action (NPOA) of the country can be improved to accelerate the achievement of best practice and standards, and address more effectively the weaknesses identified.

These recommendations should state specific measures the country should include in its National Programme of Action and provide enough detail to become time-bound additions to the country's NPOA, including estimates of capacity and resource requirements. The team's report will also need to be clear on a number of points in instances where problems are identified. If there is willingness on the part of the Government to take the necessary decisions and measures to put right what is identified to be amiss? What resources are necessary to take corrective measures? How much of these can the government itself provide and how much is to come from external sources? Given the necessary resources, how long will the process of rectification take?



## STAGE FOUR



Stage-Four begins when the team's report and the final National Programme of Action are submitted to the APR Forum of participating Heads of State and Government for consideration and formulation of actions deemed necessary in accordance with the mandate of the APR Forum.

If the government of the country in question shows a demonstrable will to rectify the identified shortcomings, then it will be incumbent upon participating governments to provide what assistance they can, as well as to urge donor governments and agencies to also come to the assistance of the country reviewed. However, if the necessary political will is not forthcoming from the government, the participating states should first do everything practicable to engage it in constructive dialogue, offering in the process technical and other appropriate assistance.

## STAGE FIVE



Stage-Five is the publication of the Country Review Report to national and regional stakeholders. The report is formally and publicly launched in the country, it is then tabled in key regional and sub-regional structures, such as the Regional Economic Commission to which the country belongs, the Pan-African Parliament, the African Commission on Human and Peoples' Rights, the envisaged Peace and Security Council, and the Economic, Social and Cultural Council (ECOSOCC) of the African Union.

## STAGE SIX



Stage six involves the monitoring and reporting on progress. The follow-up to this first cycle is equally important for sustaining the efforts to improve governance and socio-economic development in Africa. During this follow-up stage, the following is envisaged:

1. The country implements its National Programme of Action and monitors progress;

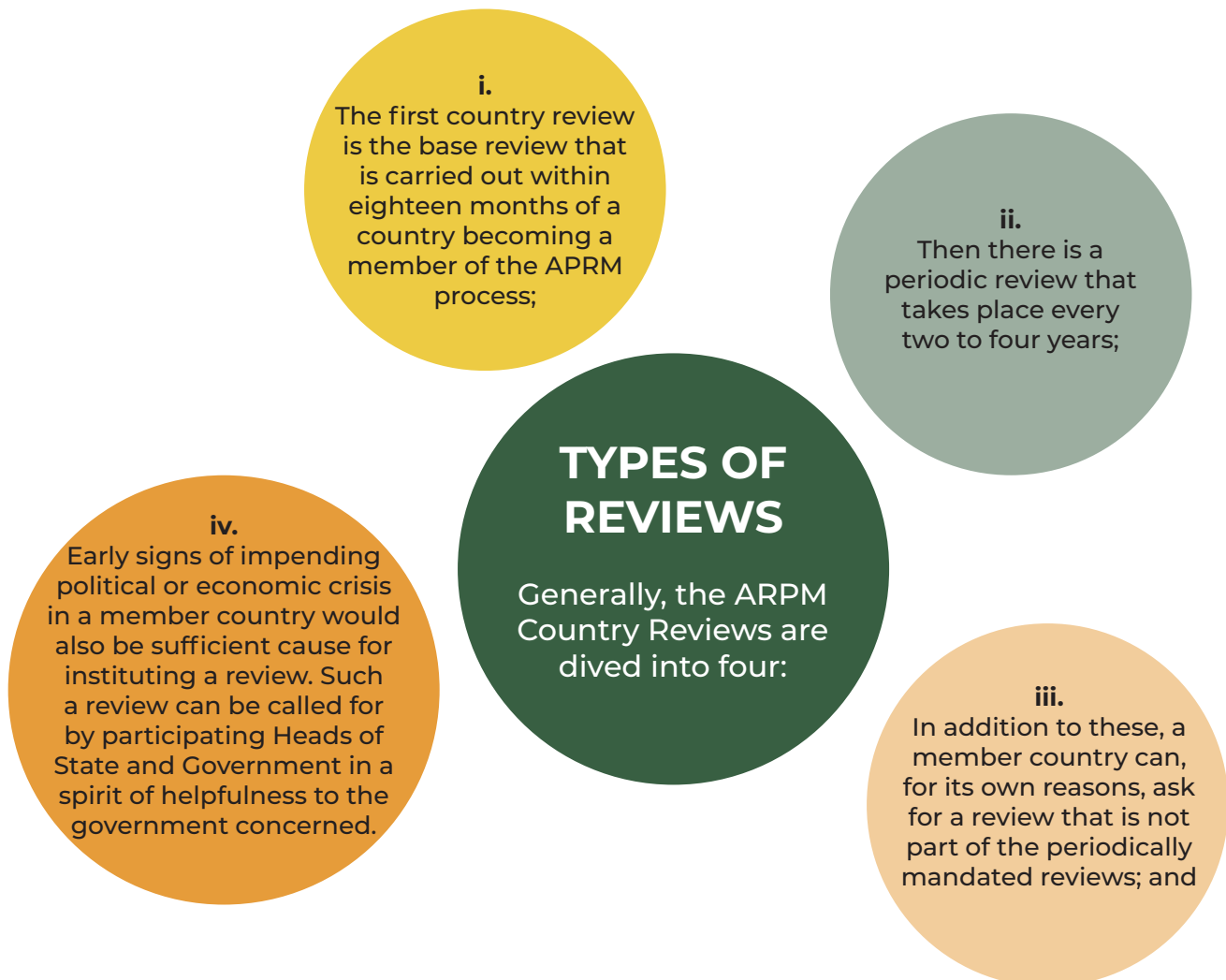
2. The APR Secretariat monitors the country's progress and interacts with the implementers of the programme to assist where necessary, especially with capacity building and resource mobilisation;

3. The APR Secretariat organises regional workshops on issues identified in the review reports and facilitate networking and sharing of experiences, and best practices among participating countries, with the participation of the APR Partner Institutions; and

4. The APR Secretariat, Strategic Partners, and possibly, Development Partners continue to support the country with technical assistance and capacity building to ensure the effective achievement of the objectives and targets of its Programme of Action.

## Periodicity and Types of Peer Review

At the point of formally acceding to the peer review process, each state defines a time-bound National Programme of Action for implementing the Declaration on Democracy, Political, Economic and Corporate Governance, including Periodic Reviews.



### 5.3. Code of Conduct for Review Mission

#### Introduction

The review mission is often an intense exercise for all involved. The intensity requires that all participants, including consultants behave in a fitting manner. This Code of Conduct for the Country Review Team provides guidelines on candidate selection, review team composition, the general obligations and the privileges and immunities of all participants in the review.

#### 5.3.1. Selection

1.1. The APR Secretariat may engage, with the approval of the APR Panel, the services of experts and institutions that it considers competent and appropriate to act as its agents in the peer review process. The procedures of selection of these experts and institutions are the following:

1.2. The APR Panel recommends to the APR Forum a list of appropriate experts, individuals and institutions to conduct the peer review process (Rules and Procedures of the APR Panel).

1.3. The APR Base Document and the APR Organisation and Processes Document state that the APR Secretariat should give priority to African experts as much as possible, however, in exceptional circumstances, the APR Secretariat may, with the approval of the APR Panel, utilise the services of non-African experts, individuals or institutions.

1.4. X=The pool of technical expertise should be established through a competitive process, and the pool must be reviewed regularly.

1.5. The Heads of State and Government Implementation Committee (HSGIC) in 2003 designated a few institutions (UN Economic Commission for Africa; African Development Bank; and the African Union-AU) as the primary resource institutions to conduct technical assessment in their respective areas of competence, namely economic governance, banking and financial standards, and human rights, democracy and political governance. In 2017, the APRM Forum approved additional institutions as strategic partners of APRM to support the APRM work in their areas of expertise.

1.6. Where the AU institutions have inadequate or no capacity, the APR Panel will recommend, for approval by the APR Forum, appropriate African Institutions with requisite capacity to support the relevant AU institutions, with a view to build their capacity in conducting technical assessments.

1.7. The APR Panel will also advise the APR Forum as to which African institutions will be invited to conduct the technical assessments on corporate governance and socio-economic development.

1.8. It is expected that the APRM will have to work with a wide range of Strategic Partners, including those that set international standards, oversight institutions, African research and policy institutions engaged in policy advisory services

1.9. The APR Panel may recommend to the APR Forum the making of partner agreements with all competent institutions that wish to strengthen the APR process at country, regional, or continental levels, provided that one technical criterion for the selection of such institutions would be the protection of African ownership of the APRM.

### **5.3.2. Selection of Consultants**

The starting point for consultant selection is the APRM Roster. Improving and extending the level of expertise present in the Roster is a continuous improvement to mission. The requirements for gender balance must often be scrutinised carefully in the media of the country undergoing review.

In selecting a consultant from the roster, one should always consult and adhere to the AU guidelines on procurement. In the early stages of recruitment, it is often desirable to rank qualified candidates according to criteria specified by the Review Mission leadership.

In all cases, efforts should be made to build capacity and to introduce new expertise in the review mission. No person shall serve on more than one CRM in a year. CRM experts should represent gender and regional diversity. Every CRM shall have only one independent expert per country.

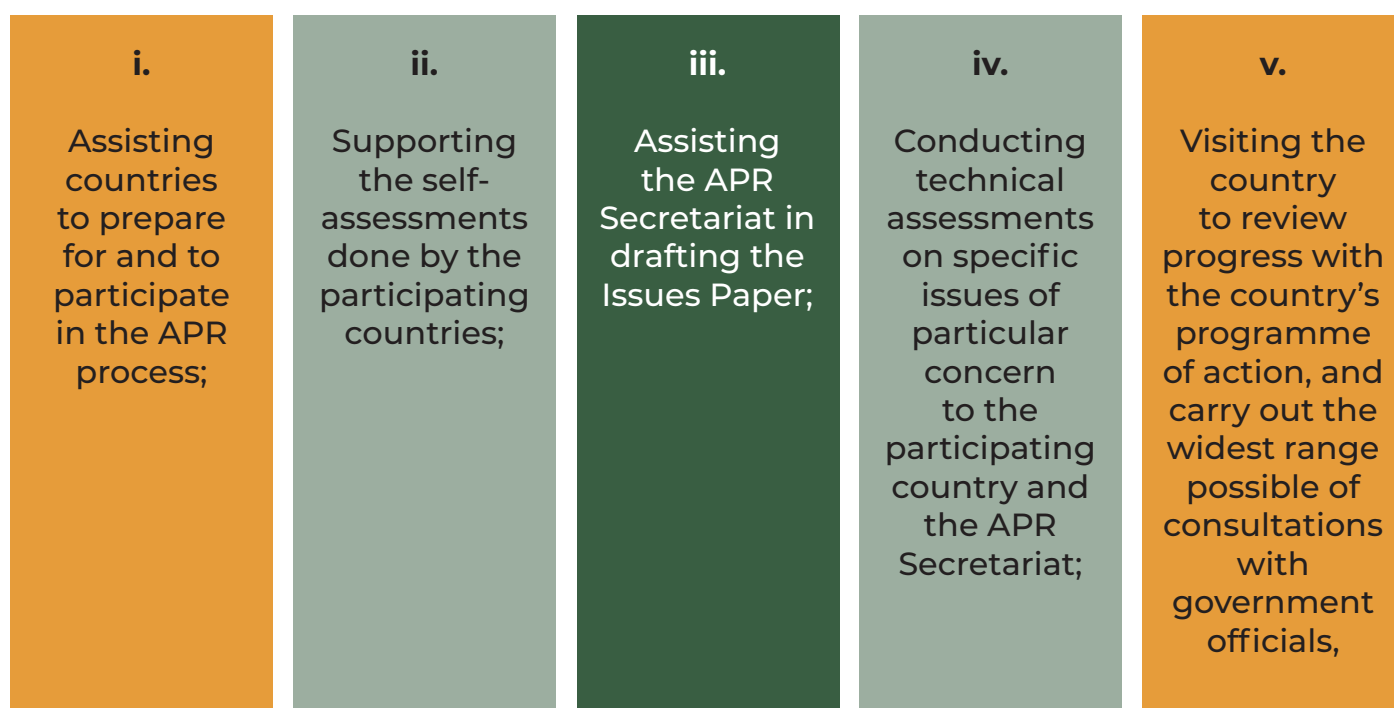
### **5.3.3. Composition**

3.1. An APR Mission Team will be established at the outset of each country review process.

3.2. The services of the Pool of Experts and the APR Partner Institutions are contracted for the Country Review following consultation between the country to be reviewed and the APR Secretariat.

3.3. The Composition of the APR Mission Teams will be carefully designed to ensure an integrated, balanced, and technically competent and professional assessment of the reviewed country. The APR Panel approves the composition and the terms of reference of the Country Review Team for each country to be reviewed.

3.4. The APR Mission Team may be utilised at different stages of the APR process, including in:



#### 5.3.4. General Obligations

4.1. Every review exercise carried out under the authority of the APRM must be technically competent, credible and free of political manipulation. The APR Mission Team shall not interfere in the political affairs of the reviewed countries.

4.2. The APR Mission Team members shall maintain their independence by not accepting any instructions relating to the performance of their duties from any governments, or other entities or persons external to the APR Panel and APR Secretariat.

4.3. Under the control and direction of the APR Panel and the APR Secretariat, the APR Mission Team shall be responsible for ensuring that the rules and procedures contained in the guidelines for countries to prepare for and participate in the peer review process are properly carried out.

4.4. The APR Mission Team shall be accountable to the APR Panel and the APR Secretariat.

4.5. The sensitive and confidential nature of their work requires of the APR Mission Team members a high degree of integrity. The APR Mission Team members shall conduct themselves at all times in a manner befitting the purpose of the APRM.

4.6. The APR Mission Team shall not engage in any activity that is incompatible with the proper discharge of their mission with the APR. They shall avoid any action and, in particular, any public pronouncement or personal gainful activity that would lead to real or apparent conflicts of interest, or adversely or unfavourably reflect on their mission or on the integrity, independence and impartiality that is required by the APRM.

4.7. The APR Mission Team members shall not accept in connection with their mission any remuneration, benefits, favour or gift of significant value from any governments or other entities or persons.

4.8. The APR Mission Team shall observe the utmost discretion with regard to all matters relating to the peer review process both while they are on mission with the APR and after their service with the APR has ended. In particular, they shall refrain from the improper disclosure, whether direct or indirect, of information related to the APRM, or to participating countries.

4.9. All rights in any work produced by the APR Mission Team members as part of their official duties shall belong to the APR Panel and the APR Secretariat.

### 5.3.5. Privileges and Immunities

4.10. The APR Mission Teams shall enjoy in the territory of participating countries, in the interests of the APRM, privileges, immunities, and facilities as may be necessary for the independent exercise of their missions, in accordance with the General Convention on Privileges and Immunities of the Organisation of African Unity and the 1961 Vienna Convention on Diplomatic Relations.



4.11. To the extent permitted by law, any member of the APR Mission Team, who is made or threatened to be made, a party to any action, suit or proceeding, due to the fact that such person is or has been a member of the APR Mission Team, shall be indemnified by the APRM Forum against all reasonable expenses and costs, actually and necessarily incurred by such member.





# APRM

African Peer Review Mechanism  
Proud Members...and Counting





## 6. AREAS FOR GOVERNANCE REVIEW





## 6. AREAS FOR GOVERNANCE REVIEW

### 6.1. APRM Thematic Areas

The APRM facilitates assessments in four thematic areas: Democracy and Political Governance, Economic Governance and Management, Corporate Governance and Socio-Economic Development. Each thematic area focuses on selected aspects of the promotion and establishment of good democratic governance standards and practice as defined by the African Union. These then materialise into institutions which act as the supportive architecture on which governance can be measured.

### 6.2. Democracy and Political Governance

The first thematic area of Democracy and Political Governance safeguards the respective national constitutions which reflect the democratic ethos that enable accountability, transparency and participatory governance, promoting a free and fair political environment. This thematic area aims to be transformative through the inspired strengthening and establishment of suitable and eligible electoral administrations and oversight structures, providing the necessary resources and capacity to conduct credible electoral processes.

Through the monitoring of democracy and political governance, African states can achieve the prevention and reduction of both the intra and interstate conflict and increase constitutional democracy through periodic political competition, the rule of law, the establishment and promotion of the existence of a Bill of Rights and the supremacy established in the constitution.



The promotion and protection of economic, social, cultural, civil and political rights as enshrined in all African and international human rights instruments. This thematic area further seeks to aid states uphold the separation of powers, through the protection of the independence of the judiciary through the establishment and promotion of an effective Parliament. Through this, countries find and appeal toward the accountable, efficient and effective placement of public office holders and civil servants. The fight over corruption in the political sphere secures and promotes the protection of the rights of women, children, youth, vulnerable groups, displaced persons and refugees.

The Democracy and Political Governance Theme is primarily derived from the provisions of the African Charter on Democracy, Elections and Governance, Article 32 which states that; State Parties shall strive to institutionalize good political governance through: 1. Accountable, efficient and effective public administration; 2. Strengthening the functioning and effectiveness of parliaments; 3. An independent judiciary; 4. Relevant reforms of public institutions including the security sector; 5. Harmonious relationships in society including civil-military relations; 6. Consolidating sustainable multiparty political systems; 7. Organising regular, free and fair elections; and 8. Entrenching and respecting the principle of the rule of law.

### **6.3. Economic Governance and Management**

The second thematic area of Economic Governance focuses on promoting the adoption of sound macroeconomic policies, including where applicable country efforts in attaining macro-economic convergence for regional integration. The APRM process focuses on dimension which promote

credible, transparent, feasible and effective economic policies, as well as prudent public finance management. In this respect, the APRM process aims at eliminating corruption and curbing illicit financial flows, both of which factor as major hindrances of good governance, equitable economic growth and development. Through economic governance assessments, states can accelerate regional integration through the participation and harmonisation of monetary regimes, trade and investment policies.

### **6.4. Corporate Governance**

Corporate Governance is defined by all aspects that govern a company's/ firm relation with shareholders and other stakeholders. According to the African Union – APRM, these aspects concern the ethical principles, values and practices that facilitate holding the balance between economic and social goals, individual and communal goals, and between private and public interests.

The APRM assessments of corporate governance thus examine the extent to which industry, companies and firms have aligned their business and dealings with the interests of individuals, corporations and society within a framework of sound governance and common good. Specific focus is placed on the issues around how corporations treat all their stakeholders (shareholders, employees, communities, suppliers and customers), and on accountability of corporations and directors. The Assessments examine in depth sub-themes such as; Business Environment and Regulation of the Private Economy; Corporate Citizenship and Accountability; and Inclusive Business.

Major topics of interest for the APRM include the following corporate governance-related economic challenges;



the extent and methods by which corporations minimize their tax obligations; balancing of corporate priorities to staff, customers, society, planet, and shareholders; balancing of reward and employment terms between directors and ordinary staff; tendency for industries to concentrate into cartels and monopolies; social responsibility and industries such as alcoholic drinks, tobacco, media, armaments/munitions, pornography, gambling, pharmaceuticals; equality and discrimination; environmental responsibility and industries such as transport, energy/fuels, mineral extraction, agriculture; legalization of industries such as narcotics and prostitution; finance and money; ownership and operation of education, health, prisons; governments' reconciliation of national economic needs with global responsibility needs; free market economics; regulation of the internet and worldwide web; and privatization versus nationalization.

The Economic Governance and Management theme, and the Corporate Governance theme are primarily derived from the provisions of the African Charter on Democracy, Elections and Governance, Article 33 which states that; State Parties shall institutionalize good economic and corporate governance through, inter alia: 1. Effective and efficient public sector management; 2. Promoting transparency in public finance management; 3. Preventing and combating corruption and related offences; 4. Efficient management of public debt; 5. Prudent and sustainable utilization of public resources; 6. Equitable allocation of the nation's wealth and natural resources; 7. Poverty alleviation; 8. Enabling legislative and regulatory framework for private sector development; 9. Providing a conducive environment for foreign capital inflows; 10. Developing tax policies that encourage investment; 11. Preventing and combating crime; 12.

Elaborating and implementing economic development strategies including private-public sector partnerships; 13. An efficient and effective tax system premised upon transparency and accountability.

## 6.5. Socio-Economic Development

The fourth thematic area of Socio-Economic Governance focuses on efforts to ensure that cross-cutting issues such as gender equality, the provision of public funds and appropriate platforms to social sectors such as the civil society are availed. The theme examines and promote the quality of broad based participation in development, by all stakeholders, at all levels. The theme recognizes that strong democratic institutions and peace and security accelerate sustainable socio-economic development and poverty eradication. The APRM also facilitates the strengthening of public and private policies in key areas of social development, member states review and establish plans to achieve equal access to education and the prioritise interventions addressing communicable diseases such as HIV/AIDS. Integral to the theme is the promotion of sound policies through participatory governance, ensuring that every citizen has adequate access to water, energy, finance, markets and information communication technologies. This is especially important for the rural poor.



## 7. APRM RESEARCH FRAMEWORK



# 7. APRM RESEARCH FRAMEWORK

## 7.1. APRM Research Framework

The African Peer Review Mechanism (APRM), whose philosophy is “intrinsic to the principles and objectives of the African Union.” (APRM Statute, 2016: 1) is governed by its APRM Statute Mandate of 2016. As such, the Division of Thematic Research and Coordination Division is mandated, under chapter three (3), Article four (4) of the African Peer Review Mechanism Statute Mandate (2016) to generate research which reflects the “APRM...mandate to promote and facilitate self-monitoring by the Participating States, and to ensure that their policies and practices conform to the agreed political, economic, corporate governance and socio-economic values, codes and standards contained in the Declaration on Democracy, Political, Economic and Corporate Governance; and the African Charter on Democracy, Elections and Governance, as well as other relevant treaties, conventions and instruments adopted by Participating States whether through the African Union or through other international platforms” (APRM Statute, 2016:7).

The thematic areas highlight important indicators which harmonise approaches to information gathering and reporting on each member state’s differing complexities, divergences and similarities. Ultimately, the thematic research and coordination division is responsible for the overall management, organization and harmonization of research, information gathering and analysis of APRM member states, under these four aforementioned thematic areas.

As the investigative body of the





Mechanism, the division of thematic research and coordination has the lead role in safeguarding the APRM Process through the development of

research methodology that ensures the indigenization of APRM tools, methods and frameworks (APRM Research Protocol, 2010: 3). Furthermore, there is an appreciation that APRM Member states are vastly different and share dissimilar experiences with regards to characterizing, developing and practicing Afrocentric variations of democracy and good governance. As such, it is the fundamental directive of the APRM that the division of thematic research and coordination operates under its four thematic areas namely: Corporate Governance; Economic Governance and Management; Democracy and Political Governance; and Socio-Economic Development as they relate to the core mandate of the mechanism.

*The APRM Philosophy*, which is the translation of its Mandate under the APRM Statute highlights how the divisional methods and techniques based on the implications of the philosophy on research methodology, assert the manner in which research is collected and conducted. It also asserts the sources of data, meaning that there are checks and balances to insure access to admissible authors and information. The analytical framework highlights the need for understanding the ideological orientation and interpretation of results along the four thematic areas. The philosophy of the APRM Research approach is derived from the interpretivist world view. There is a recognition of the key tenants upon which Country Reviews are undertaken, namely – voluntarism, self-determination, Pan-Africanism, both self and peer assessment:

Voluntarism highlights the need for

research to be undertaken willingly and without external or internal imperative. This means that the research methods used have a robust internal and external validity. Self-Determination indorses the analytical framework used in the agenda, which is derived from the member country's understanding of the issues as

resented. Pan-Africanism points to the research conceptual framework, which employs standards and codes as defined in the country's policies, treaties and protocols adopted by the African Union. The analysis of the outcomes and findings are undertaken in reference to Pan-African agendas of regional international and policy convergence. Self-Assessment has the ability to promote country responsibility and independence. Furthermore, it encourages ownership of the reflective and learning process being acceded to and shift's the focus from something imposed by someone else to a potential partnership. Self-assessment emphasizes the formative aspects of assessment and encourages a focus on process. It further accommodates diversity of a country's readiness, experience and backgrounds and further aligns practices with the shift in governance assessments from a focus on external opinion and ranking regarding performance to an emphasis on a country's learning.

The principal data collection and analysis approaches of self-assessment are built on the two main elements, the first being, making decisions about standards of performance and status quo. The second is ensuring the creation of judgments concerning the quality of performance, in relation to the standards and codes.

Moving forward from the *APRM research protocol (2010)*, the division of thematic research and coordination has observed

the pre-fielding methodology, which sets out to prepare the foundational research for the country self-assessment and country review missions (APRM Research Protocol, 2010: 3). This stage aims to outline the reflective nature of APRM process, principles of voluntarism and self-determinism and pan Africanism as highlighted in the APRM Statute under Chapters 3 and 5.

Research highlights the necessities of having a virtuous circle of self and peer reflection on the divergent themes of governance. It further expands understanding, permits the broadening or redefinition of governance and the manner in which communities engage with governments to encourage democratic ideals, the protection of human rights and the widespread participation of civilians within their states. The APRM Research protocol realizes that the nature of its research “involves human subjects and as such, participating countries must remain aware of the risks and disadvantages as well as equity and ethics issues involved in the exercise” (APRM Research Protocol, 2010: 15). Of some of the highlighted disadvantages highlighted in the Research protocol is the “potential disparity between message provided by the subjects and the final transcription or reports” (APRM Research Protocol, 2010:16). This is important to note as it has a bearing on the accurate, transparent and authenticity of the APRM Process against the Mechanisms mandate

The division of thematic research and coordination conducts and produces three main knowledge products including background papers, country review reports, commissioned studies and key issues paper or key highlights – which are equivalent to policy briefs through the recording of the National Plan of Action (NPOAs) designed through the interaction with the government.

However, in order to produce these, the

division honours the APRM research protocol (2010), which highlights the role of desk research, separate from stakeholder participation, as a methodology. This provides structured and objective investigation platforms for “descriptive, quantitative and qualitative analysis” (APRM Research Protocol, 2010: 5) of key findings concerning APRM member states, in the thematic areas of governance and socio-economic development.

Household surveys, through the APRM Questionnaire, are the APRM quantitative research methodology that makes use of opinions from ordinary citizens. This is vital for the production of country review reports as the opinions of the public concerning governance and democracy highlight the nature of political governance within a state (APRM Research Protocol, 2010: 5). This tool is effective for gathering representative data, the process entails random selection of citizen, to ensure a widespread pool of information. The Focus Group Discussions is a research tool that enables small group debates and interactions to delve into the “attitudes and opinions about a topic of interest” (APRM Research Protocol, 2010: 8). The Expert Panel Surveys is a qualitative research technique which deals with empirical and in-depth analysis of information sourced from the informed sector of society such as public officials and key stakeholder institutions (APRM Research Protocol, 2010: 10).

***Formative Process and Management Systems*** of the division of thematic research and Coordination carries the responsibility for the following internal database development knowledge products: APRM Research publications such as background papers, country self-assessment reports, country review reports, progress reports, special mission reports and special studies. The division is also responsible for the production



of external database development research such as academic papers – thesis/journals, policy briefs, discussion papers and periodicals.

*The Functions* of the division of thematic research and coordination hosts research activities on individual Member States of the APRM thematic, developmental and related areas. The division aims to facilitate and collaborate in the preparation of the country review process through the development relevant documents necessary for both the review and evaluation processes.

With the collaboration of the Knowledge Management and M&E Division, Thematic Research and Coordination will establish country specific databases, make provisions of input for country review process during the preparatory stages and supervise the drafting of relevant documents.

In conjunction with the abovementioned activities, the division will undertake the facilitation of background documents for the review and evaluation processes and for the advocacy on Universal Accession into the African Union. Furthermore, through the facilitation of the vital preparatory documents, the division aims to work towards that advocacy of external bilateral and multilateral partners and the development of indicators related to the four (4) Thematic Areas.

The division aims to provide information, training and workshops on the preparatory processes involved in writing the Country Self-Assessment Report (CSAR) to the National Focal Points, governmental officials, private sector and academics involved in this process. These trainings and workshops will operate under experience sharing and best practices.

The division will also make provisions

of inputs of Country Review Reports, particularly on the implementation the National Programmes of Action (NPOAs).

*The methodology* used, as highlighted in the APRM draft research protocol (2010), it is articulated that the preparation of basic research should make use of desk research, household surveys, focus group discussions, expert panel surveys and In-Depth Interviews. These methods provide qualitative information which will be applied in the review of standards, codes, conventions, agreements and protocols on governance. These then determine which participating countries are yet to be signed, ratified and or domesticated from various secondary sources such as reports from government ministries, departments and agencies, international organizations, academic and policy research institutes.

## **7.2. APRM Research Protocol 2010**

The first APRM Member countries to have completed the APRM Country Self Assessments have adopted and applied various research methods in order to gather the necessary information for their country self assessment reports (CSAR). Even though there are striking similarities across countries, some differences are noticeable and have led to some divergences in the CSAR format and basic content. In order to minimise divergences and allow better peer learning across reviews, the various research approaches have now been harmonised into a composite research protocol, to guide future country self assessments in APRM participating countries.

This research framework is aimed at providing detailed steps that National Governing Commissions, APRM

Secretariats or Technical Research Institutes (NGCs/Secretariats/TRIs) tasked with conducting the self-assessment in participating countries could adopt to ensure uniformity in the manner the different kinds of basic research – Desk Research, Expert Panel Survey, Household Survey and Focus Group Discussions – are implemented. Optional research methods including public hearings and organizational surveys are also discussed.

This manual is divided into the following sections:

Section 1 covers the pre-field testing methodology

Section 2 covers the basic research methodology for country self assessment and includes:

- Desk Research
- Household Surveys
- Focus Group Discussions
- Expert Panel Surveys

Section 3 covers the optional research methodologies and includes:

- Public Hearings
- Organisational surveys
- Written Submissions

Section 4 covers Post field methodology and includes:

- Quality Assurance/External Review
- Validation

Section 5 concludes the manual and includes notes on research risks, ethics and dissemination

Annex 1 offers sample research tools

### **7.3. Pre-Field Testing Methodology**

To prepare for the basic research stage,

the following steps are required:

- Indigenize standard questionnaire received by incorporating relevant but excluded issues as country-specific questions.
- Decide on the basic research methodology
- Develop the research tools to be used (Household surveys, expert surveys etc)
- Design sampling frame for each research tool
- Translate questionnaire into major local languages spoken in the participating country.
- Field test the English (or French) and local language versions of the questionnaire and rectify all identified pitfalls.
- Train trainers/enumerators/researchers who will apply the tools

## **7.4. Basic Research Methodology**

### **7.4.1. Desk Research**

The desk research instrument presents structured and objective questions that require desk based information and data extraction. It is designed to collect secondary data and information from published sources, internet, reports from government, international organisations, academics etc which then allows for descriptive, quantitative and qualitative analysis of issues of governance and socio-economic development.

*Important Considerations:*

- Does not allow for stakeholder participation and perception data

Not costly

- Can be time-consuming if data is required from bureaucratic institutions i.e. governmental agencies
- Provides factual/verifiable information
- Not costly

### Box 1: Using the Desk Research Instrument (NIGERIA)

The desk research instrument was used to review the recorded perceptions of the elite group on the quality of governance and development issues in the country. It was done in line with the following guidelines:

- a clear and concise statement of the research problem in respect of the APRM four thematic areas;
- indication of how the existing literature has analysed the issues involved;
- clarification of how the existing positions relate to the APRM's conception of the problem across its four thematic areas;
- provision of a synthesis and clear specification of the definition(s) of the problem in relation to the APRM objectives across its four thematic areas;
- identification and critical review of the major concepts of relevance to the APRM four thematic areas, outlining how various authors have defined these concepts as well as how useful, in conceptual and operational terms, such concepts and definitions are to both the Nigerian/African context and the objectives of the APRM;
- review of the substantive issues under the APRM's four thematic areas in terms of the specific questions raised under each objective as well as the indicators of progress as specified in the APRM Questionnaire; and
- a clear identification of governance challenges/gaps, institutional weaknesses, and best practices, as well as the level of efforts employed to address the former and reinforce the best practices.

Desk research, like the Expert Surveys and FGDs provides qualitative information. The only difference is the use of documented sources. The desk research methodology will mainly be applied in the review of standards, codes, conventions, agreements and protocols on governance to determine which participating countries are yet to be signed, ratified and/or domesticated from various secondary sources - reports from government ministries, departments and agencies, international organizations, academic and policy research institutes.

In this regard, it is very difficult to design one particular format for undertaking such research. Participating countries therefore must be guided by the objective of the research and the relevance of information they gather during the desk research to the entire research. In this sense, we encourage NGCs/APRM Secretariats/TRIs to be meticulous while doing this kind of qualitative research.

### 7.4.2. Household Surveys

Unlike the Expert panel survey, the target of the household survey, which is a quantitative research technique are the ordinary citizens who also may have opinions on the research issue(s). Household surveys are usually limited when it comes to tracking the basis of respondents' opinions. Nevertheless, information gathered through this type of research would be very important to understanding what ordinary citizens think about democracy and political governance in their respective countries.

Household-based surveys use a probability sampling technique to derive perceptions of citizens on various issues in the country. This tool takes into account the need for representative

data. Selection should be random, giving citizens an equal chance of being included in the study. A countrywide representation is necessary to inform accurately on issues that are being investigated.

The various stages required in the household survey broadly include:

- the identification of the sampling frame
- the identification of the sample size<sup>12</sup>
- the estimation of the sampling error
- development of data collection tools (questionnaires and training manuals)
- Pre-testing of questionnaire
- Data collection
- Data cleaning and validation
- Data analysis

Since the APRM Questionnaire is lengthy and technical for a household survey, technical experts need to develop a simplified questionnaire that conforms to local conditions. It is also to be translated into local languages to allow the respondents to be interviewed in the language of choice.

#### ***Important Considerations:***

- It is the only tool that scientifically ensures that all segments of the population are involved in the study
- It provides quantitative data that can be easily referenced
- It is the most costly method of data collection
- It can be time consuming

<sup>12</sup>In Ghana, the sample size used was 1,200. In Kenya, it was 1,500. Nigeria sampled 22,200 households.

#### **Box 2: Use of Household Surveys (Benin)**

Household surveys were conducted per thematic group in Benin. In the Democracy and Good Political Governance (DPG) theme area, 598 people were surveyed, representing approximately 1/10,000 of the Benin population of 6,769,914 people reported to live in the country in the most recent census of 2002. Survey participants were chosen according to geographical distribution including residency in rural or urban centres and according to gender, age and intellectual/literacy level. To obtain information from citizens living in urban areas, survey participants were selected from the three principle cities of Cotonou, Porto Novo and Parakou. Rural survey participants were chosen from 15 villages in the 11 rural departments of the 12 departments in Benin. The "Littoral" department was considered as part of the city of Cotonou for the purpose of the DPG household survey.

The survey included questions on ethnicity, religious affiliation, and occupation. An effort was made to include all socio-professional classes including government employees, union members, teachers, artisans, commercial sector workers, business people and students. In the three cities that were included in the survey, participants were selected from all the urban districts (arrondissements) including all 13 arrondissements in Cotonou, 5 arrondissements in Porto Novo, and 3 arrondissements in Parakou. As mentioned, previously, survey participants were also characterized according to gender, age (15-59, 60 years +) and intellectual capacity (literate or illiterate), so that precise profiles of survey participants could be obtained.

The difficulties encountered included in arranging meetings with elected representatives in both the central government and the decentralized administration; Questionnaires sent to the north of Benin had very slow response times; and heads of government institutions often did not respond to the questions. As a result, their opinions were often not included.

For the purposes of standardization and comparability, it is imperative for participating countries to conduct these surveys using similar procedures and methodologies enumerated below:

Design a sampling frame for selecting



sample. Where the national census office of participating country can provide a complete and current (or updated) national Enumeration Areas (EAs) and Household (HH) lists, NGC/Secretariat/TRI could adopt these for sampling EAs and HH.<sup>13</sup>

Use probability sampling method, preferably Probability Proportional to Size (PPS) to select a sample that is nationally representative.

Procure EA Maps and HH list for sampled EAs and households from the national census office.

Develop a training manual (inclusive of fieldwork protocols) for training Field Supervisors (FSs) and Research Assistants (RAs). Also, procure all necessary logistics needed for the fieldwork.

Recruit, and train personnel (i.e. a FS and a number of RAs) for the fieldwork. A major focus of the training should be the sampling protocol, particularly the selection of households (i.e. where census office cannot provide this) and respondents<sup>14</sup> in the field and discussions on the questionnaire.

Pilot the survey questionnaire (English/French and local language versions) and fieldwork protocols as part of the training and make the necessary refinement before actual fieldwork.

- Deploy field teams<sup>15</sup> to survey locations to undertake data collection for a stipulated period (at most 14 days).

RAs. In deploying teams NGC/Secretariat/TRI should be mindful of the means of transportation. From hindsight, providing each team with a cross-country vehicle shortens fieldwork period and also makes accessibility to distant research spots easy.

- Develop data entry templates with appropriate analytical software (e.g. SPSS, STATA etc).
- Carry out post-coding and manual editing of completed field returns.
- Recruit and train data entry clerks to undertake data entry and subsequent cleaning.
- Monitor all activities relating to field work, data entry and data cleaning to ensure proper application of protocols relating to these phases of the research, which is paramount to producing quality data.
- Analyze data and use findings to prepare household survey report which like the Expert Panel Survey will also feed directly into the country's self-assessment report.

#### **7.4.3. Focus Group Discussions**

A focus group discussion (FGD) is an exploratory research tool. It is a discussion carried out with small groups made up of non-elite and local opinion leaders. The discussion is guided by a group leader (called a facilitator/moderator) who asks questions and tries to help the group to have a natural and free conversation with each other. Focus groups are aimed at encouraging participants to talk with each other, rather than answer questions directly to the facilitator/moderator. The group interaction of focus groups is important because it gives an understanding of what people think about specific issues. Focus groups can find out about people's feelings, attitudes and opinions about a topic of interest. They examine only one or two topics in great detail, in an effort to really understand what people think

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<sup>13</sup> In situations where EA list is not available, then sampling frame used in conducting other nationally representative sample surveys by public and civil society organizations should be used.

<sup>14</sup> We propose that respondents should be nationals who are of the voting age in their respective countries.

<sup>15</sup> A field team should consist of a FS plus a number of

and why they think that way. The various stages involved in FGD include:

- Training of facilitators
- Selection of participants for FGD
- Making logistical arrangements
- Facilitating the session
- Collating the information

Participants may be identified using selection criteria of age, gender, level of education, being active in public affairs, regional representation, socio-economic groups, civil society, politicians, development partners, private business, religious faiths, different sectors, rural versus urban, areas and so on.

**Important Considerations:**

- Provides detailed information for qualitative analyses
- Can be time consuming

**Box 3: Use of Focus Group Discussion (Kenya)**

The Focus Group Discussions (FGDs) were conducted in the same communities where the household surveys were carried out. It is considered that information collected from these discussions is very crucial in complementing the results from the household surveys. It is important therefore that the manner in which this information is collected is well planned to enable generalization to the survey population. In view of the limited time within which the study is to be executed, the communities to be covered may have to be kept to minimum so that the workload will not prove a burden to the quick processing of the data. In this case, a sub set of the survey clusters may be selected and the consultations conducted there. It is considered that there is likely to be a lot of variation in the perceptions held by the members of the communities across various age categories and socio-economic classes. It may be necessary to develop stratification of the population along age and socio-economic categories to control for possible variations associated with the above factors.

Again, for the purposes of uniformity across participating countries that would want to gather information using FGD, we propose the basic steps below:

- Secure a venue that is convenient to participants and conducive enough to allow for comfortable exchanges without any distractions.
- Invite not more than 20 persons per each FGD.
- Briefly introduce the FGD team to participants.
- Ask participants to introduce themselves by giving brief information about their background.
- Introduce the purpose and scope of the discussion by providing an overview of the research.
- List themes for discussion on a flipchart to serve as guide and reminder to participants as well as the scope and progress of the discussion.
- Ask for participant consent to audio tape proceedings. Where they object, abide by their decision.
- Assure participants that their responses would be treated with high level of confidentiality.
- Conduct the discussion in a structured manner following the logical sequencing of questions around key themes in the FGD Guide. And where necessary, use in-depth probing without necessarily leading the participants to tease out more information.
- Encourage all participants to speak and discuss the issues among themselves.
- Use verbal and nonverbal cues to discourage participants from dominating the discussion.

- Introduce another issue in the FGD guide only when the one on the floor has exhaustively been discussed and a consensus has been reached by participants.
- Pay close attention to and show interest in what participants say to encourage others to also offer their opinions on the issues being discussed.
- Remember to thank participants after the FGD letting them know how valuable their contributions have been to the project.
- If possible, provide token refreshment for participants as gesture of appreciation after the session.
- Compile and analyze the participants' comments at the various FGDs into a single report with conclusions and recommendation based on the analysis. The report must also highlight individual comments that are worthy of note. Conclusions and recommendations will be based on this analysis.

#### 7.4.4. Expert Panel Surveys

Expert panel survey is a qualitative research technique that is more appropriate for gathering an in-depth and empirically factual information on a subject matter from a well-informed segment of a population (in this case, officials of key stakeholder institutions).

The expert panel survey is designed to capture information from a cross-section of leading experts. Thematic questions will need to be targeted to specific expertise. For example, questions on Economic Governance and Management (EGM) sub-topics can be directed to a macro-economist. Questions should be formulated in a manner to elicit opinions and perceptions. Quantitative responses may take the form of yes/no, scoring or

ranking on a scale of 1 to 5.

Expert respondents should be carefully identified by Technical Research Institutes and may be drawn from academics, faith-based groups and other members of civil society, the media, government, private sector and politicians, among others.

#### *Important Considerations:*

- Provides current/ substantial/ informed data
- Provides both factual and perception data
- Can be difficult to synthesis the various qualitative information obtained

#### **Box 4: The Use of Expert Panel Instrument (Ghana)**

The 250 respondents in the “elite <expert panel> study” were selected using purposive sampling techniques from a cross-section of opinion leaders and interest groups in Ghanaian society.

These respondents were individuals who by virtue either of the specialised institutions for which they worked and the groups to which they belonged, or of their positions of seniority within these institutions and groups, had privileged knowledge and a deep understanding of the issues covered by the survey. To ensure the fair representation of all parts of the spectrum of Ghanaian society, the elite survey sample group included respondents from all the ten administrative regions of Ghana and from a broad range of interest and identity groups.

These included the government, academia, traditional leadership, the business community, trade associations, the media, women, the youth, vulnerable or disadvantaged minorities and faith-based groups. The elite panel provided a snapshot of “informed” Ghanaian opinion on questions of governance. The results of the study were taken to represent an important qualitative source of information for the research.



Participating countries that intend undertaking expert panel survey are kindly requested to carry out Expert Panel Surveys in the steps outlined below:

- Recruit, train and deploy teams of field research assistants to distribute and collect completed questionnaires from key officials of responding stakeholder institutions.<sup>16</sup>
- As part of the training for field research assistants, pretest the expert survey questionnaire with a few respondents and review before it is administered in the actual survey.

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<sup>16</sup> Where electronic mode of distribution and collection will be employed or members of NGC will facilitate the distribution and collection, this step will be redundant.

- Procure all the necessary logistics that will be needed, particularly by field research assistants for conducting (or distribution) and collection of completed questionnaire.
- Seek informed consent of the selected stakeholders and set up interviews before deploying fieldworkers. Be sure to explain the purpose of the interview, why the stakeholder has been chosen (probably in a covering letter attached to instrument) before the commencement on interview.
- Record manually the responses provided and also tape or digitally record with the consent of respondents who must be assured of confidentiality and anonymity.
- At the end of the interview, tell key informant how useful his/her comments and opinions are, ask if he/she has any questions, explain to them how their comments will be incorporated with comments of other key informants to ensure confidentiality, and thank them for

participating

- Transcribe, analyze and compile a report on the expert survey, which will feed directly into the national self-assessment report.

## **7.5. OPTIONAL RESEARCH METHODOLOGY**

This section describes research methodologies that are optional for country self assessment. These include public hearings, organizational surveys and written submissions.

### **7.5.1. Public Hearings and other consultative fora**

A public hearing is an investigative research tool involving members of a particular community to discuss or address certain issues. Its benefits may be summarised in the following:

public hearings may reveal aspects of the social, cultural, political and economic environment previously unknown to researchers inform and reassure the citizens about government policy proposals may assist to release pent up feelings Public policy (projects, etc) becomes open to the public and this exerts pressure on Government/administrators to adhere to decision making procedures.

Good organisation is important to the success of public hearing. Wide advertising is essential to reach many community members, as are established rules about the content and length of public statements. It is also important to have well trained public hearing officers to guide debates and transcribers.

A well designed public hearing can ensure that local governance and socio-development issues are aired by participants and included in the self-assessment report. Well designed public hearings require a briefing by members of the National commission ahead of the

public hearing to potential participants. The briefing would ideally:

- Explain discussion topics and the requirements
- Disseminate literature on the APRM process

Adequate time is needed for debate on issues. Unnecessary focus on speeches and ceremonies should be avoided as much as possible.



### **Important Considerations:**

- It allows for broad-based participation
- A poorly organised public hearing can be counterproductive leading to polarisation of views

### **7.5.2. Organisational Surveys**

This methodology applies in the areas where qualitative and quantitative information is required and can be obtained from the organisations themselves or other organisations or umbrella associations with knowledge and information on the subject. Information collected using these surveys are important in obtaining organisational specific information. Participating countries can be guided by the following steps in this case:

- Translate the Questionnaire into major local languages widely spoken in the Participating Country;
- Field test the original and the translated versions to identify and rectify any disparities;
- Design a sampling frame to aid in the selection of a sample. This can be obtained from among others, chambers of commerce, Registrars, Institutes of Directors or statistics department.

- Select a nationally representative sample by using an appropriate probability sampling method such as the probability Proportional to Size Method.
- Recruit, train and deploy teams of research assistants who will be responsible for administering the questionnaires and develop a training manual (inclusive of fieldwork protocols) necessary for their training. Ensure all logistical requirements.
- Recruit and train data entry clerks.
- Pilot the survey questionnaire and the fieldwork protocols as part of the training and make the necessary refinement before the actual fieldwork.
- Deploy field teams and administer questionnaires.
- Develop data entry templates with appropriate analytical software.
- Carry out post coding and manual editing of completed field returns.
- Data cleaning and entry. At this stage, close monitoring is imperative to ensure quality data.
- Analyze data and use findings to prepare house hold survey report to feed into the national self-assessment report.

### **7.5.3. Written Submissions**

Soliciting for written submissions for the attention of the National Governing Councils/National Commissions is a way to ensure that all voices are heard when considering issues to include in the Country Self Assessment Report. This method was successfully used in the South African review process.

## **7.6. POST-FIELD METHODOLOGY**

### **1.6.1. Quality Assurance/External Review**

The final draft of the CSAR is presented to credible institutions or experts to certify that the draft is factually correct and is a fair assessment of the situation of the country in the thematic areas as known. The quality assurance experts endorse the credibility and integrity of the final report. Countries have also deemed it prudent to verify the accuracy of statistics from the Central Statistics office. In South Africa for example to enhance the credibility of the process and ensure overall high quality of the report writing process, the research sub-committee of the NGC agreed to appoint the Human Sciences Research Council and the Auditor-General to provide quality control assistance.

### **7.6.2. Validation of survey reports**

The APRM is not merely about the production of technical research reports. Its broad based nature calls for the understanding and ownership of the findings by key national stakeholders. Validation involves taking the draft national self-assessment report back to stakeholders for them to pronounce on the extent to which the technical reports reflected the reality on the ground and are a fair reflection of the opinions of the persons surveyed. Validation is seen as critical for the credibility, legitimacy, authority, and acceptability of the report. This is mainly done through national stakeholder validation workshops.

For the expert panel survey and FGDs reports, if resources will permit, they should be validated with stakeholders who provided the information to ensure that the analyses, conclusions drawn and recommendations made thereof reflect the thoughts and opinions of the information providers before they are incorporated into the country's self-assessment report.

### **7.6.3. Leverage of findings of the various surveys in the CSAR**

One major issue that NGCs/APRM Secretariats/TRIs must not lose sight of as they adopt multi-prong methods to undertake the self-assessment is the weight that they may have to give to the various sources of information in the final assessment report. This demands a lot more critical thinking to enable one make informed choices.

## **7.7. CONCLUSION: Research risks, ethics, and dissemination**

### **7.7.1. Administering the Questionnaire**

This research involves human subjects and as such, Participating Countries must remain aware of the risks and disadvantages as well as equity and ethics issues involved in the exercise.

### **7.7.2. Risks and disadvantages**

One of the greatest risks in this case is the potential disparity between the message provided by the subjects and the final transcriptions or reports. All efforts must be made to mitigate this risk since it has a bearing on the accuracy and authenticity of the entire process. Related to this is the risk associated with the misunderstanding of the research matter, being a fairly novel one in many countries. Participating Countries must take time to offer as much background information as possible, particularly to focus group participants and during house hold surveys, in order to elicit the meaningful participation and contribution of the respondents. It is also important, where appropriate, for Participating Countries to out in place special incentives or treatment that subjects will receive through their participation in the research. If there is any type of remuneration, this amount must be specified alongside the

method of delivery, time, and reason why payment is required.

### **7.7.3. Equity and Ethics**

o ensure equity, Participating Countries must ensure that all population groups are well represented and consulted, including but not limited to the elderly, the physically challenged, ethnic minorities and all racial groups. To the best extent possible, there should be an appropriate balance of the two sexes when constituting study groups.

From an ethical perspective, respondents must be assured of the measures to be taken to keep the information given safe and confidential. Research teams should also indicate how the research findings will be reported, delivered and applied.

### **7.7.4. Supervision and Dissemination of Findings**

Once the Participating Country has completed its research, a draft country self assessment report (CSAR) is produced, alongside a draft program of action.

These two documents are sent to the Secretariat, which simultaneously develops a background document and an issues paper, to guide a country review mission to the participating country.

The APRM country review mission led by a member of the APR Panel of Eminent Persons visits the Participating Country and consults with key stakeholders. The consensus from these consultations with stakeholders from civil society, the private sector and government, across all regions of the country, guides the construction of the country review report. A draft report is then prepared based on both the CSAR and the country review mission findings for the consideration of the APR Panel of Eminent Persons. After adoption by the

APR Panel, the report is then discussed with the respective Governments whose response is annexed to the report. The report is thereafter submitted to the APRM Forum of Participating Heads of State and Government.

## 7.8. Annex 1: Sample Research Tools For The APRM

### 1. Desk Research/Secondary data research (Corporate Governance Example)

This methodology provides a bulk of the qualitative information required and involves the collating of already-existing data from internal sources, publications, public records, the internet, annual reports, commercial data bases and the press. In addition to providing the necessary background information, desk research will offer leads to the appropriate additional methodologies to be applied in each area.

In the area of Corporate Governance, this methodology will be important in establishing the responses to all or some of the aspects of the following:

- Part 3- country profile, which calls for landscape information on the private sector, the public sector and the not-for profit sector; and the corporate governance profile, which calls for general information on adopted mechanisms and the adoption of standards;
- Part 4 – standards and codes, the establishment of the ratification, adoption and compliance with standards and codes;
- Part 5 – prior evaluations and assessments, reports on all previous corporate governance evaluations and assessments carried out by the participating country;
- Objective One – the framework for business and service delivery;
- Objective Two – effective leadership and accountability of organizations;
- Objective Four – the fair and equitable treatment of stakeholders.

The following matrix offers guidance on the relevant setting.

Questionnaire Section / Part	Research Setting
Part 3 Country Profile	Internet; Government departments in charge of finance, tax collection, licensing, labour, social security, justice or industry regulation; National budgets; Stock exchanges and regulators of the capital markets industry; Privatization Units or equivalents; NGO Boards or equivalents; Company registrars; Reports of private sector associations or equivalents; Chambers of commerce; Industry associations; Corporate Governance institutes or equivalents; Health Service Commissions or equivalents; Education Service Commissions or equivalents; Judicial Service Commissions or equivalents; Human Rights Commissions or equivalents; Research institutes and academic institutes; Press and media reports.



Part 4 Standards and Codes	Internet; Government Departments in charge of Justice, International Affairs, Labour, industry the extractive sector and environment; Institutes of Corporate Governance or equivalents; Bankers' Associations; Institutes of Certified Public Accountants; Parliamentary reports; Press and media reports.
Part 5 Prior Evaluations and assessments	Government departments in charge of international affairs and justice; Reports by development partners; Press and media reports.
Part 6 Questions relating to objectives	Internet; Government departments in charge of finance, tax collection, licensing, labour, social security, justice or industry regulation; National budgets; Stock exchanges and regulators of the capital markets industry; Privatization Units or equivalents; NGO Boards or equivalents; Company registrars; Reports of private sector associations or equivalents; Chambers of commerce; Industry associations; Corporate Governance institutes or equivalents; Health Service Commissions or equivalents; Education Service Commissions or equivalents; Judicial Service Commissions or equivalents; Research institutes and academic institutes; Press and media reports.

## 12. Expert Panel Instrument (Democracy and Political Governance Example)

In the area of political governance and management, the Expert Panel Instrument can be used to assess issues such as constitutionalism and separation of powers, effectiveness of decentralization etc. Below is a sample of an Expert Panel instrument for objective 2.

Indicate your opinion with an "X" or score 1-5 as instructed in one of the five boxes aligned to the right for each statement or question closest to your considered judgment and best fits or describes the actual situation in the country.

Does the political system allow for free and fair competition for power and the promotion of democratic governance?

1. The Constitution provides for:

### Score:

- Full checks and balances between the different branches of government

- Significant Checks and balances between the different branches of government
- Limited checks and balances between the different branches of government
- Very few checks and balances between the different branches of government
- No checks and balances between the different branches of government

1. The electoral system is:

**Score:**

- fully anchored in an electoral law, independent electoral commission and electoral constituency accepted to all political parties.
- anchored in an electoral law, independent electoral commission and electoral constituency demarcations that are largely acceptable to all political parties
- anchored in an electoral law, electoral commission and electoral constituency demarcations that are magically acceptable to all political parties.
- anchored in an electoral law, electoral commission and electoral constituency demarcation that are largely unacceptable to all political parties

2. The current electoral law

**Score:**

- ensures the autonomy and independence of the electoral system from all organs of state and political parties
- ensures the autonomy and independence of the electoral system from all organs of state and political parties, but fails to provide for a neutral and efficient conflict prevention/resolution system
- does not ensure the autonomy and independence of the electoral system by failing to provide for a neutral and efficient conflict resolution and equal participation for all independent political parties in the electoral process
- does not ensure autonomy and independence by failing to guarantee freedom of movement and assembly, equal participation for all candidates and political parties in the electoral process and an effective mechanism for conflict resolution and to challenge electoral results
- is designed to sustain the incumbent/ruling party

1. Political parties and candidates in the country:

**Score:**

- accept the legitimacy of the electoral commission as manager of the electoral process
- regard the electoral commission to be legitimate but powerless and helpless with regard to conflict prevention/resolution
- regard the electoral commission to be under the influence of the incumbent government/ruling party
- regard the electoral commission to be openly biased towards the ruling party
- do not regard the electoral commission as legitimate since it is created, controlled and managed by the ruling party

2. The electoral authority in the country:

**Score:**

- is always impartial and transparent in its activities
- is largely impartial and transparent in its activities
- is fairly impartial and transparent in its activities
- is rarely impartial and transparent in its activities
- is controlled and used by the incumbent government/ruling party

3. The government provides:

**Score:**

- full security to all legally – registered opposition political parties to ensure independent movement and operations throughout the country
- reasonably good security to all legally registered opposition political parties to ensure independence of movement and operation throughout the country
- limited security to all legally – registered opposition political parties to ensure independence of movement and operation throughout the country
- very little security to all legally – registered opposition political parties to ensure independence of movement
- no security to any legally –registered opposition political parties to ensure independence of movement and operation throughout the country

4. Public mass media and other public resources in the country are:

**Score:**

- equally accessible to all legally registered political parties during elections
- not as accessible to the opposition as they are to the ruling party during elections
- somewhat inaccessible to the political opposition during elections
- largely inaccessible to the political opposition during elections
- not accessible to the political opposition during elections

5. The electoral system in the country legally and practically ensures:

**Score:**

- a fully credible and transparent voter registration process
- a largely credible and transparent voter registration process
- a fairly credible and transparent voter registration process
- a rarely credible and transparent voter registration process
- no credible and transparent voter registration process

6. The electoral system in the country legally and practically:

**Score:**

- ensures credible and transparent voting, results reporting and effective mechanisms to challenge election results
- ensures a largely credible and transparent voting, results reporting and effective mechanism to challenge election results
- ensures a fairly credible and transparent voting, results reporting and effective mechanism to challenge election results
- rarely ensures credible and transparent voting, results reporting and effective mechanism to challenge election results
- ensures no credible and transparent voting results reporting and effective mechanism to challenge results

## 2. Focus Group Discussion (Democracy and Political Governance Example)

The following issues can be covered in focus group discussions. Sample questions for the FGD are as follows:

- a. What are the recent and ongoing conflicts in the country?
- b. What are the sources of these conflicts and Why?
- c. How has these conflicts affected the citizens?
- d. How can these conflicts be reduced and prevented?
- e. Is the government of doing enough to promote peace with its neighbours?  
Yes/No

If Yes, how? If No, why?

- f. How will you rate political elections in terms of being free and fair?  
(Probe for reasons)
  - » very free and fair
  - » free and fair
  - » a bit free and fair
  - » not free and fair
- g. How effective are the members of parliament and councilors in representing the interests of their electorate?
- h. How does corruption manifest itself in the political arena?
- i. How has this corruption affected the quality of leadership in the country?
- j. What efforts are being made to increase the participation of women in politics and leadership in the country?
- k. How does the government ensure that the status of children and the youth is being improved?
- l. What steps have been taken to ensure that internally displaced persons and refugees are being integrated into the society?

## 3. Household Survey (Socio-Economic Development Example)

### Objective 1: Promote Self Reliance in Development and Build Capacity for Self-Sustaining Development

2.1 Do you have any projects/facilities in this village providing the following services?

1. Yes

2. No.

(If No, skip to Q.2.12)



1. Education
2. Health
3. Water and sanitation
4. Electricity
5. Financial services

2.2. If yes, are you aware of how the resources used to set up these projects are mobilized?

1. Yes                                      2. No (If No, skip to Q.2.5)

1. Education
2. Health
3. Water and sanitation
4. Electricity
5. Financial services

2.3. If you are aware, indicate the sources of financing for these facilities as follows:

1. Gov    2. Dev Partner    3. NGO    4. Community    5. Other

- |                         |                          |                          |                          |                          |                          |
|-------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 1. Education            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Health               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Water and sanitation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Electricity          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Financial services   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

2.4 How do you rank the performance of the different stakeholders in the provision of these services:

- Ranking: 1. Excellent    2. Good    3. Fair    4. Poor    5. very poor

1. Gov 2. Dev Partner 3. NGO 4. Community 5. Other

	1. Gov	2. Dev Partner	3. NGO	4. Community	5. Other
1. Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Water and sanitation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Electricity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Financial services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.5. If you are not aware of how the resources used in establishing the facilities are mobilized, what is the reason?

1. Not interested	<input type="checkbox"/>
2. Not informed	<input type="checkbox"/>
3. not given opportunity to participate	<input type="checkbox"/>
4. Lack the capacity to be involved	<input type="checkbox"/>
5. Other (specify)	<input type="checkbox"/>

2.6. Are you aware of how the resources for maintenance of these facilities are mobilized?

1. Yes  2. No  (If No, skip to Q.2.12)

2.7. If yes, indicate the sources of finance for maintaining these facilities as follows:

1. Gov 2. Dev Partner 3. NGO 4. Community 5. Other

	1. Gov	2. Dev Partner	3. NGO	4. Community	5. Other
1. Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Water and sanitation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Electricity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Financial services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.8. How would you rank the role of the community in setting up these facilities:

Ranking: 1. Very active 2. active 3. moderate 4. weak 5. very weak

1. Education

2. Health

2. Water and sanitation

3. Electricity

4. Financial services

2.9. How would you rank the role of the community in the maintenance of these facilities?

Ranking: 1. Very active 2. active 3. moderate 4. weak 5. very weak

1. Education

2. Health

3. Water and sanitation

4. Electricity

5. Financial services

2.10. Who is responsible for the daily management of these facilities and the provision of services?

1. Gov 2. Dev Partner 3. NGO 4. Community 5. Other

1. Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Water and Sanitation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Electricity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Financial Services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.11. How would you rate the quality of services from these facilities?

Ranking: 1. Excellent 2. Good 3. Fair 4. Poor 5. Very poor

1. Education

2. Health

3. Water and Sanitation

4. Electricity

5. Financial services

2.12. Do you have any opportunities to influence the decisions regarding the provision of basic social services like education, health water and sanitation, electricity and infrastructure in your community?

1. Yes  2. No.  (If No, skip to Q.2.16)

2.13. If Yes, explain how you can influence

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2.14. How would you rate the extent to which the presence of these facilities has benefited the community in terms of strengthening their capacity (e.g. training, equipment, etc)?

Rankings: 1. Excellent 2. Good 3. Fair, 4. Poor 5. Very Poor

2.15. In general, how participatory would you describe the initiatives to establish these facilities?

Rankings: 1. Very high 2. High 3. Moderate 4. Poor 5. Very Poor

2.16. Are you aware of any community-based organizations in your village?

1. Yes  2. No  (If No, skip to Q.2.19)

2.17. What services do they provide? (Tick)

- 1. Education
- 2. Health
- 3. Water and sanitation
- 4. Electricity
- 5. Financial services
- 6. Other, specify

2.18. To what extent do the CBOs enable the members to assert their rights and identify their needs?

1. Very Effective 2. Effective 3. Moderate 4. Poor 5. Very Poor







## 8. KNOWLEDGE PRODUCTS





lead role in safeguarding the APRM Process through the development of research methodology that ensures the indigenization of APRM tools, methods and frameworks (APRM Research Protocol, 2010: 3). Furthermore, there is an appreciation that APRM Member states are vastly different and share dissimilar experiences with regards to characterizing, developing and practicing Afrocentric variations of democracy and good governance. As such, it is the fundamental directive of the APRM that the division of thematic research and coordination operates under its four thematic areas namely: Corporate Governance; Economic Governance and Management; Democracy and Political Governance; and Socio-Economic Development as they relate to the core mandate of the mechanism.

## **8.2. The APRM Philosophy**

In translating the APRM mandate outlined in the APRM Statute, the division devises methods and techniques based on the implications of the philosophy on APRM research methodology, and consequently the manner in which research is collected and conducted.

It also asserts the sources of data, meaning that there are checks and balances to insure access to admissible authors and information. The analytical framework highlights the need for understanding the ideological orientation and interpretation of results along the four thematic areas. The philosophy of the APRM Research approach is derived from the interpretivist world view. There is a recognition of the key tenants upon which Country Reviews are undertaken, namely – voluntarism, self-determination, Pan-Africanism, both self and peer assessment:

Voluntarism highlights the need for research to be undertaken willingly and without external or internal imperative. This means that the research methods used have a robust internal and external validity. Self-determination endorses the analytical framework used in the agenda, which is derived from the member country's understanding of the issues as presented. Pan-Africanism points to the research conceptual framework, which employs standards and codes as defined in the country's policies, treaties and protocols adopted by the African Union.

The analysis of the outcomes and findings are undertaken in reference to Pan-African agendas of regional international and policy convergence. Self-Assessment can promote country responsibility and independence. Furthermore, it encourages ownership of the reflective and learning process being acceded to and shifts the focus from something imposed by someone else to a potential partnership. Self-assessment emphasizes the formative aspects of assessment and encourages a focus on process. It further accommodates diversity of a country's readiness, experience and backgrounds and further aligns practices with the shift in governance assessments from a focus on external opinion and ranking regarding performance to an emphasis on a country's learning.

The principal data collection and analysis approaches of self-assessment are built on the two main elements, the first being, making decisions about standards of performance and status quo. The second is ensuring the creation of judgments concerning the quality of performance, in relation to the standards and codes.

## **8.3. Research Framework**

Moving forward from the APRM research protocol (2010), the division of thematic research and coordination has observed the *pre-fielding methodology*, which sets out to prepare the foundational research for the country self-assessment and country review missions (APRM Research Protocol, 2010: 3).

This stage aims to outline the reflective nature of APRM process, principles of voluntarism and self-determinism and pan Africanism as highlighted in the APRM Statute under Chapters 3 and 5.

Research highlights the necessities of having a virtuous circle of self and peer reflection on the divergent themes of governance. It further expands understanding, permits the broadening or redefinition of governance and the way communities engage with governments to encourage democratic ideals, the protection of human rights and the widespread participation of civilians within their states.

The APRM Research protocol realizes that the nature of its research “involves human subjects and as such, participating countries must remain aware of the risks and disadvantages as well as equity and ethics issues involved in the exercise” (APRM Research Protocol, 2010: 15). Of some of the highlighted disadvantages highlighted in the Research protocol is the “potential disparity between message provided by the subjects and the final transcription or reports” (APRM Research Protocol, 2010: 16). This is important to note as it has a bearing on the accurate, transparent and authenticity of the APRM process against the mechanisms mandate

The division of thematic research and coordination conducts and produces three main knowledge products including background papers, country review reports, commissioned studies and key issues paper or key highlights – which are equivalent to policy briefs through the recording of the National Plan of Action (NPoAs) designed through the interaction with the government.

However, in order to produce these, the division honours the APRM research protocol (2010), which highlights the role of desk research, separate from stakeholder participation, as a methodology. This provides structured and objective investigation platforms for “descriptive, quantitative and qualitative analysis” (APRM Research Protocol, 2010: 5) of key findings concerning APRM member states, in the thematic areas of governance and socio-economic development.

**Household surveys**, through the APRM Questionnaire, are the APRM quantitative research methodology that makes use of opinions from ordinary citizens. This is vital to produce country review reports, as the opinions of the public concerning governance and democracy highlight the nature of political governance within a state (APRM Research Protocol, 2010: 5).

This tool is effective for gathering representative data, the process entails random selection of citizen, to ensure a widespread pool of information. **The Focus Group Discussions** is a research tool that enables small group debates and interactions to delve into the “attitudes and opinions about a topic of interest” (APRM Research Protocol, 2010: 8).

**The Expert Panel Surveys** is a qualitative research technique which deals with empirical and in depth analysis of information sourced from the informed sector of society such as public officials and key stakeholder institutions (APRM Research Protocol, 2010: 10).

The **post-field methodology**, which exists as the validation of the survey reports is designed to ensure that member states take ownership of their reports and to ensure quality assurance through external review, where the final draft of the Country Self-Assessment reflects on the credibility and integrity of the report (APRM Research Protocol, 2010: 14). Through this validation process, the public and differing institutions

are encouraged to share and validate information through focus groups, public hearings and consultative forums. This process is led by the National Governing Councils.

#### **8.4. Formative Process and Management Systems**

The formative process and management systems of the division of thematic research and coordination carries the responsibility for the following internal database development knowledge products: APRM Research publications such as background papers, country self-assessment reports, country review reports, progress reports, special mission reports and special studies. The division is also responsible for the production of external database development research such as academic papers – thesis/journals, policy briefs, discussion papers and periodicals.

**THE FUNCTIONS** of the division of thematic research and coordination hosts research activities on individual Member States of the APRM thematic, developmental and related areas. The division aims to facilitate and collaborate in the preparation of the country review process through the development relevant documents necessary for both the review and evaluation processes.

With the collaboration of the Knowledge Management and M&E Division, Thematic Research and Coordination will establish country specific databases, make provisions of input for country review process during the preparatory stages and supervise the drafting of relevant documents.

In conjunction with the above-mentioned activities, the division will undertake the facilitation of background documents for the review and evaluation processes and for the advocacy on Universal Accession into the African Union.

Furthermore, through the facilitation of the vital preparatory documents, the division aims to work towards that advocacy of external bilateral and multilateral partners and the development of indicators related to the four (4) Thematic Areas.

The division aims to provide information, training and workshops on the preparatory processes involved in writing the Country Self-Assessment Report (CSAR) to the National Focal Points, governmental officials, private sector and academics involved in this process. These trainings and workshops will operate under experience sharing and best practices.

The division will also make provisions of inputs of Country Review Reports, particularly on the implementation the National Programmes of Action (NPOAs).

**THE METHODOLOGY** used, as highlighted in the APRM draft research protocol (2010), it is articulated that the preparation of basic research should make use of desk research, household surveys, focus group discussions and expert panel surveys. These methods provide qualitative information which will be applied in the review of standards, codes, conventions, agreements and protocols on governance. These determine which participating countries are yet to be signed, ratified and or domesticated from various secondary sources such as reports from government ministries, departments and agencies, international organizations, academic and policy research institutes.

#### **8.5. Fellowship Programme**

##### **AIM AND OBJECTIVES**

The aim of the Fellowship Programme is to popularize the mechanism and create continent wide network of governance experts to ensure generation of high quality



governance research and integration of best practice into National Plans of Action.

The objective of the APRM Governance Fellowship Program is to facilitate expert-led governance research and incorporation of its outcomes into the APRM process.

The programme will thus induct participants on the APRM philosophy, conceptualization of governance and the APRM mandate. The program will therefore support the fellows in developing an understanding of the APR Process and exposing them to a network of leading and critical actors in the governance sphere within the African continent.

### **THEMATIC AND TOPICAL FOCUS**

The assignments within the programme will be fashioned around the fellow's field of study in order to foster a meaningful learning experience which include the academic seminars to develop frameworks and apply theory, in-depth research, analysis of the four APRM thematic areas, and a broad curriculum of skills development.

### **SCOPE**

The policy is applicable to all interested applicants from Members of States of the African Union (AU) and the African Peer Review Mechanism (APRM).



### **DURATION OF THE PROGRAMME**

The fellow program will last for a duration of three months (3) with the possibility of extension of the contract as per needs of the APRM.

## 9. ELECTRONIC QUESTIONNAIRE



## 9. ELECTRONIC QUESTIONNAIRE

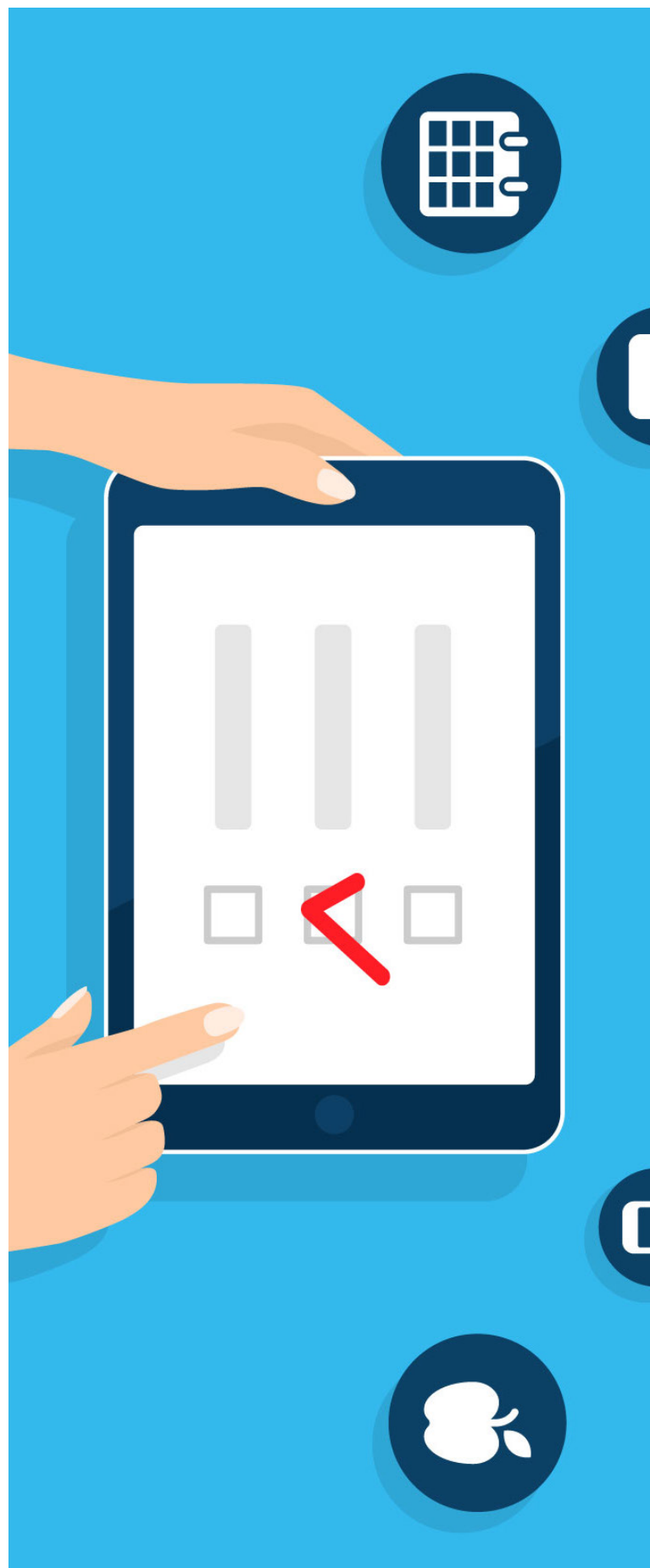
9.1. Rationale for the Development of the APRM Electronic Questionnaire Tool  
Since APRM Review is currently moving away from the traditional review process to a much more refined and customized second-generation review, there is a need to automate the current assessment process to address some of the challenges associated with the manual process.

The manual method of conducting country self-assessment, which has been in existence for a decade is cumbersome, prone to human error, time consuming and resource intensive (requires human capital and financial resources). This current system poses some significant challenges as Country Review Team will have to prepare customized questions mainly for pre-mission analysis, survey and post review mission. Hence, these factors echo the need for automation of the of electronic questionnaire system.

Following are the main problems that APRM is currently facing and may continue to face as we move towards the second-generation review:

- Tedious process in the preparation of customized questionnaire tailored towards a specific country or geared towards achieving a specific goal; and
- High resource and capacity requirement to prepare and assess the questionnaire.

The electronic questionnaire and polling system will improve the way second generation review questions are prepared, conducted and scaled in accordance to the APRM standards. For that reason, APRM developed a task specific electronic questionnaire and



## **Purpose of the electronic questionnaire tool**

The main objective of the electronic questionnaire is to simplify the country preliminary analysis and post-review assessment process. It is developed to gather feedback quickly and cheaply. The electronic questionnaire adds to eliminate the costs associated with printing and distributing paper-based questionnaires and collecting data in electronic format reduces time and costs required for data processing and may increase public confidence in the anonymity of their responses. With the electronic tool the APRM can, based on the predefined access obtain instant feedback. The questionnaire is created using Hyper Text Mark-up Language (HTML) and made available to potential respondents via a web server. When the respondent has completed the questionnaire or sections allocated to him/her they 'submit' the web form back to the web server. The web server processes the data by executing programs created as part of the web form either for sending data to a designated email address, or inserting it into a database created especially for the purpose of storing and retrieving the data.

The electronic questionnaire tool allows simple analysis of frequencies of response to each question, can provide more complex analyses; for example if there are statistically significant differences between countries/regions/groups. The data gathered can also be imported into Excel spread sheets/Word and statistical packages which can be used to carry out more complex analyses if and when required.

In addition, the system contribute towards real time and effective monitoring, reporting and evaluation through measurement of indicators for proactive decision making and reporting in order to increase efficiency in the self-assessment process and improve quality of peer review process in its entirety.

## **Description of the APRM Electronic Questionnaire Tool**

The electronic questionnaire tool is an online tool that the target audience, country representatives, groups or specifically targeted individuals, can complete over the Internet or through using other related devices. Online surveys are usually created as Web forms with a database to store the answers and statistical software to provide analytics. APRM developed the electronic questionnaire tool to allow for greater flexibility, ability to consult much wider and to gain a deeper understanding of their target audience's opinions and traditions. In addition to the traditional questionnaires and surveys, online surveys can be used in more than one way:

- To provide more data on the target audience, including everything from basic demographic information (age, education level and so on) to social data (causes, traditions, regional specific variations or activities and more reliable trends and analysis data);
- To provide the ability to easily develop specific or short surveys about a specific topic, service or theme in order to find out how countries are reacting to it or to assist with collecting specific information relevant to a specific requirement; and
- In contrast to the traditional surveys, online surveys offer APRM a way to sample a broader audience faster at a lower cost.

The Electronic questionnaire tool is a versatile tool that allows for developing questionnaires and surveys in digital format to allow flexibility in development and conducting of questionnaires and surveys. The ability to develop or modify questionnaires based on the requirements for the APRM is a unique feature of this tool and allows the user to set up the structure of the questionnaire to suit its required out-



comes. The tool is web based and uses Internet Explorer as the interface (the 'front-end'). Users access the application from any computer connected to the Internet using a standard browser including from a tablet or any other smart device. Offline capturing is also possible to cater for more rural areas or where internet access is limited or unavailable. The data captured offline can at a later stage as and when connectivity is restored synchronised with the server.

### **Summary of System Capabilities**

The following are some of the systems capabilities:

- Multi-platform support (Personal Computers, smartphone, tablet etc.);
- Ability to receive responses via internet;
- Ability to track and store user's IP addresses, geo-location, email responses and contact details;
- Ability to design customized surveys in any language using different themes, images [logos / info graphic], videos, audios or texts;
- Ability to add additional users and assign access privileges;
- Platform capable of conducting household surveys, in-depth interviews, Focus Group Discussions (FGD), advance analytics (Comparative, trend and predictive analytics);
- Ability to filter responses, analyze current and historic data, generate custom reports and extract reports to SPSS, CSV, XLS or PDF format; and
- Ability to password protects surveys.

## **9.2. The APRM Electronic Questionnaire Tool**

### **System Overview**

The electronic questionnaire tool is accessed through a secure web link emailed to selected users who would log in with their individual user name and password emailed to them. The front end of the web link will display the familiar look and feel of the APRM's web site with columns where important information relevant to the user and the questionnaire could be added. This feature is totally dynamic and the APRM can amend or change the information at will.

The process of conducting a country review mission is not changed significantly by using the electronic questionnaire tool. The major changes would be the method used to collect and collate information during the mission. In the past information had to be collected either in hard copy or by uploading documents/data captured on a personal computer.

The electronic tool will assist in capturing data or information directly into a tool where it is organised according to a specific structure and index. The questionnaire is captured on the tool and by accessing the tool the user will be able to answer the questions posed and/or upload any supporting documentations or material necessary to motivate or substantiate the answer provided. The tool will then index the information, if captured correctly, and store the information in a data base designed for the tool so that it could be used afterwards to view, approve information captured, con-

duct a review process and generate reports as and when required.

The APRM electronic questionnaire tool will collect sensitive information that should only be available to persons approved to see or deal with the information. The tool allow for this and to be able to access either the questionnaires or the information specific to a Country/client requires log in to the web site through a secure log in name and password. The log in is sent by the system administrator via email to the allocated person and only that person or the designated individual at the Country/Organisation will be able to access or view the information. The security of the system is very robust with segregation of duties (process flow access) at a functional level and authentication interrogation on application (User code/password) level, database and networks (LAN/WAN).

### **System Characteristics**

The following functional characteristics are built into the electronic questionnaire tool:

- The tool allow registration of new users;
- The tool allow all participants to submit information online and when and where required offline to be synchronised with the data base when it is online again;
- The tool enable users to view their submission status;
- The tool enable authorised APRM officials to view submitting made by participant;
- The tool enable the APRM officials to view reports per element;
- The tool will eventually enable the APRM officials to create and consolidate a final report in line with information submitted by participants;
- The tool have error and exception handling capabilities;
- The tool has an e-mail notification capability;
- The information collected is password protected; and
- The tool is customisable to allow for creation of different questionnaires/surveys.

### **Advantages**

The advantages of conducting the country mission with the use of the electronic questionnaire tool are as follows:

- Information can be collected from a large group of people;
- Surveys are easy to design and administer;
- Simple analyses can be completed very quickly;
- Responses can be anonymous;
- Web-based questionnaires can be made to look more visually appealing; and
- The data generated is in a predictable format.

### **Disadvantages**

An electronic process to conduct a country mission can be very advantages providing the disadvantages of using technology is kept in mind and mitigated as far as possible. The disadvantages of conducting the country mission with the use of the electronic questionnaire tool are as follows:

- If this tool is incorrectly used, accurate information will not be gathered;
- When using an online survey there is no opportunity to clarify the meaning of a question;
- Online surveys may have a low response rate and have the risk of excluding people with language, literacy and/or IT access issues. Piloting the survey is essential in identifying and avoiding such limitations; and
- Web-based questionnaires may require more technical expertise to create them, the cost of which may not be justifiable if targeting a relatively small number of people.

### 9.3. Using The APRM Electronic Questionnaire Tool.

Process for utilization of electronic questionnaire tool

The process for utilizing the electronic questionnaire tool is similar to the existing process and the steps to follow is detailed below:



## **STAGE 9.4. Users - Target Audiences**

This Electronic Questionnaire is targeted at key APRM stakeholders, more specifically, at the following target audience:

- Partners, African, Regional and International Institutions - including the UN, EU, ECOSOC, SADC, ECOWAS, ECAS and AUC;
- National Governing Council/ Civil Society Organizations;
- Government institutions;
- Education sector – Academia/ Students alumni;
- Research sector – Researchers/ Analysts;
- Media sector - both at the African and world level;
- Stakeholders - Africans, Panel Members, Focal Points (national officials), Strategic partners and other stakeholders within across the African continent;
- Country Review Mission Team; and
- General public - A wider informed audience.

### **9.5. Its Administration – Who administers the tool**

The APRM will have full control over the electronic questionnaire tool with the support of Eratis Technologies. The administration of the APRM electronic questionnaire tool is designed to be dealt with at various levels. The administration levels are as follows:

- System administrator - full rights including development rights;
- Country administrator - able to create users in the country and assign rights his/ her level down;
- Reviewer/Country coordinator - Only review functions;
- Respondent - i.e. able to complete questionnaire and view reports; and
- Reporter - only able to view reports.

The rights to be able to access the information of a country will be agreed with the country before any rights are assigned. This will then be managed by the country administrator until such time the country requests or agree that the information could be made available to either country coordinators, APRM representatives or any person identified to have access to the country's information.

Technical assistance and support will be done by Eratis Technologies in collaboration with the APRM IT specialist until such time the APRM can manage the system in-house. Additional development and support will be done by the system developers from Eratis.

## **COSTS**

### **9.6. Cost of using the APRM Questionnaire Tool**

The electronic questionnaire tool is the sole property of the APRM and there will be no cost involved in the use of the tool. The only costs associated with the use of the tool is the costs relating to support and continued development, especially during the initial period of the implementation. The tool is developed to improve and speed up the processes relating to a country mission and would in its current state assist significantly in reducing the cost and time of the missions.

### **9.7. Cost relating to support of Country missions**

As any new development additional functionality as well as complex reporting for-

mats is required and this will have to be dealt with in the inception phase in a country. The system support functions will include resources from the development team for the entire duration of the mission.

Based on the experience and insight gained during the course of the development the following in terms of continued support is envisaged:

- Customisation relating to country specific requirements;
- Training;
- Continuous support during data capture process;
- Additional reporting features to assist with operational aspects of the APRM and eventually the tool need to accommodate a multitude of reporting features and eventually be able to produce a complete country report directly from the system;
- Uploading data from various data sources;
- Ability to upload statistics or information from independent sources where arrangements are in place;
- “Quick” surveys; and
- Country specific support.

## PROPOSED COSTS FOR COUNTRY MISSIONS

The envisaged costs relating to resources for the country

APRM Country mission support costs			
Functionality required	Activities	Resources	Total cost
Country missions (Per Country)	<p>The activities relating to this function are as follows:</p> <ul style="list-style-type: none"> <li>- Assist with the planning and implementation of the electronic tool in Countries</li> <li>- Eratis accompanying the APRM Secretariat on Country missions to assist and assess current development</li> <li>- Amend or incorporate new development or requirements into Electronic Questionnaire as and when required</li> <li>- Assist and support the APRM Secretariat/Country in using the Electronic Questionnaire</li> <li>- Incorporate functionality into Electronic Questionnaire</li> <li>- Test and adopt new functionality</li> <li>- Assess Country specific requirements and include that into the customisation for the specific Country. This could include the following: <ul style="list-style-type: none"> <li>Changing the language</li> <li>Develop separate/short surveys</li> <li>Capture and import specific data</li> <li>Develop customised reports as per Country requests</li> </ul> </li> <li>- Verify integrity of data being uploaded in Countries</li> <li>- Assess Country resources and provide additional training and support where and when required</li> <li>- Consolidate data and develop reports specific to the Country and in collaboration with the Secretariat</li> </ul>	Project coordinator and manager	R 160 000.00
		Senior developer	R 128 000.00
		Developer	R 192 000.00
		Support staff	R 320 000.00
		<b>Total for deliverable</b>	<b>R 800 000.00</b>
		<b>Total for support during country mission</b>	<b>R 800 000.00</b>
		<b>VAT</b>	<b>R 112 000.00</b>
		<b>Total for deliverable</b>	<b>R 912 000.00</b>



# 10. ACCOUNTABILITY AND REPORTING



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### 10.1. Introduction

In 2016, the APR Panel of Eminent Persons commissioned the development of a new strategy to ensure that the APRM focused only on what it could do best, and on where it can add most value to Africa's capacity for good governance. This resulted in the development of the new Strategic Plan (2016 – 2020) through broad consultations and introspection. Among the key decisions taken were the following:

- (i) Establishing follow-up, monitoring and evaluation capacity within the Secretariat;
  - (ii) Pursuing new approaches, tools and instruments to assist in the monitoring evaluation work required in the context of Agenda 2063 and SDG 16;
- These culminated in the decision to establish a continental Monitoring, Evaluation and Reporting System.

### 10.2. Objective for setting up a continental MER System

At its 28th Summit held in Addis Ababa, Ethiopia, on 30 - 31 January 2017, the African Union Assembly of Heads of State and Government decided to extend the mandate of the APRM to include tracking of the implementation and oversee monitoring and evaluation of the Continent's key governance areas. The AU Assembly, therefore, welcomed the resolution to reposition the APRM to play a monitoring and evaluation role for the African Union Agenda 2063 and the United Nations Sustainable Development Goals Agenda 2030.



The objective of the Continental Level Monitoring-Evaluation and Reporting System is to outline the essential processes and procedures necessary in managing an efficient and effective data collection, management and utilization system using robust tools and systems to provide reliable feedback in real-time or at regular intervals on the progress achieved towards the implementation of APRM National Programmes of Action as well as the Agenda 2063 and Agenda 2030.

### 10.3. The Continental MER System

#### 10.3.1. Stakeholders for MER

##### i) Country-level

The key stakeholders at the country-level must include the following:

Stakeholder	Reason for inclusion
National Governing Commissions/ Council	<ul style="list-style-type: none"> <li>• Data management and reporting</li> <li>• Data validation and accountability</li> <li>• Oversight of APRM MER activities through Sector Working Groups/Technical Review Committees</li> </ul>
National Statistics, Planning and Research institutions	<ul style="list-style-type: none"> <li>• Data collection, management, and analysis at sub-national and national levels</li> <li>• Data validation and accountability</li> <li>• Oversight of APRM M&amp;E activities</li> </ul>
Other public institutions (Ministries, Departments and Agencies)	<ul style="list-style-type: none"> <li>• Capacity strengthening (tools and methods) for data collection and analysis at all levels</li> <li>• Focal APRM persons</li> <li>• Oversight of APRM activities through Sector Group reviews</li> </ul>
CSOs and Private sector at all levels	<ul style="list-style-type: none"> <li>• Data collection, management and analysis with their activities</li> <li>• Data validation and accountability</li> </ul>
Local government	<ul style="list-style-type: none"> <li>• Data collection, management and analysis with their activities</li> <li>• Data validation and accountability</li> </ul>
Development partners	<ul style="list-style-type: none"> <li>• Financial support for data collection and analysis</li> <li>• International standardized data</li> <li>• Oversight of APRM activities through Sector Group reviews</li> </ul>

##### ii) Continental level

At the continental-level the following stakeholders are proposed:

Stakeholders	Reasons for inclusion
National Governing Councils/ Commission	<ul style="list-style-type: none"> <li>• Data collation and submission via e-system</li> <li>• Submission of annual progress reports</li> </ul>
Consultative Committee of NGCs	<ul style="list-style-type: none"> <li>• Oversight of APRM activities through review meetings</li> </ul>

Focal Point Committee	<ul style="list-style-type: none"> <li>• Oversight of APRM activities through review meetings</li> </ul>
APR Panel	<ul style="list-style-type: none"> <li>• Oversight of baselines (Country Self Assessments and Country Review Reports)</li> <li>• Use of reports in critical review meetings with both national and continental stakeholders</li> <li>• Oversight of APRM activities through review meetings</li> </ul>
APRM Continental Secretariat	<ul style="list-style-type: none"> <li>• Data collation and analysis</li> <li>• Submission of annual progress reports and special reports</li> </ul>
Strategic partners	<ul style="list-style-type: none"> <li>• Financial support for data analysis and report dissemination</li> <li>• Oversight of APRM activities through review meetings</li> </ul>
Development partners	<ul style="list-style-type: none"> <li>• Financial support for data collection and analysis</li> <li>• International standardized data</li> <li>• Oversight of APRM activities through review meetings</li> </ul>

#### 10.4. Indicators for Monitoring and Evaluation

##### National-level indicators

The NGCs shall continue to monitor the indicators outlined in the APRM base questionnaire that is captured in their national programs of action. Irrespective of the final indicators captured in National Programmes of Action, NGCs shall ensure that they collect data on and report on the minimum core set of indicators that would be monitored at the continental level.

Currently most countries have incorporated both the SDGs and Agenda 2063 into the national development plans. The NGCs should therefore collaborate with national development ministries/commissions to collect and report on such data.

In addition NGCs shall report on the following indicators:

Indicator	Definition
% of CRR recommendations captured by the NPoA	<p>The number of CRR recommendations that are addressed in the final NPoA. This can be calculated by:</p> $\frac{\text{Number of recommendations in NPoA}}{\text{Total number of recommendations in CRR}} \times 100$

<p>% of NPoA indicators captured in national development plans</p>	<p>The total number of NPoA indicators that are finally captured for implementation in the national development plan. This is calculated by:</p> $\frac{\text{Number of APRM indicators in national plan}}{\text{Total number of APRM indicators in NPoA}} \times 100$
<p>% of APRM activities actually implemented</p>	<p>The total number of APRM activities captured in the national development plan that are actually implemented. This is calculated by:</p> $\frac{\text{Number of APRM activities implemented}}{\text{Total number of APRM activities in national plan}} \times 100$

### Continental-level indicators

A minimum set of core indicators have been identified to track progress in implementation of the national Programs of Action.

At the continental-level it is proposed that the Knowledge Management and M&E Division will monitor two main types of indicators – standard and composite indicators. This proposal is because standard and composite indicators will afford the APRM the opportunity to access progress across different countries.

The indicators were selected based on several criteria: (i) maximum data availability, (ii) applicability in broad range of country settings, (iii) broad coverage of goal priorities and (iv) that the data is currently being collected and utilized. It should be understood that these metrics do not measure the full range of governance challenges in Africa, and they should not be misunderstood as doing so. They are just a basis for getting started quickly through a rapid self-assessment, and are:

1. Limited in number (2–3 per goal) but capturing core elements of each objective
2. Applicable to broad range of country settings
3. Recent high-quality data available for as many countries as possible
4. Consensus based, in line with international standards and system-based information
5. Constructed from well-established and accessible data sources

### Gender-based indicators

Gender mainstreaming in APRM Monitoring, Evaluation and Reporting system is a strategy to promote gender equality and respect for human rights, particularly women’s and children’s rights, and to enhance the protection of all women, regardless of ethnic, social, or religious background. This strategy entails not just disaggregating indicators by sex (such as school enrolment disaggregated by sex) but by developing gender-specific indicators (such as number of women holding senior legislative and managerial positions) that will be monitored over time.

## 10.5. Methods of Data Collection

### Country-level



The NGCs shall rely on existing national level MER systems and institutional arrangements for data collection. National statistical bureaus, planning ministries/ departments, central banks and research institutions already have well established MER systems for data collection for national development plans, SDGs and the Agenda 2063. Additionally, countries have already established Inter-ministerial committees for national development plans, Agenda 2063 and Agenda 2030. The NGCs can rely on these bodies for reviews/validations of the data.

#### Continental-level

The KMME Division will rely on data submitted by the NGCs via the APRM e-platform as well as country annual progress reports. The KMME will complement these with reports from partners and institutions such as UNECA (African Governance Reports), AfDB (African Governance Outlook), Mo Ibrahim (Mo Ibrahim Index), ACET (African Transformation Index)

### **10.6. Baselines and targets**

The Country Self-Assessment Report (CSAR) provides the baselines information on all (or most) of the key APRM indicators for each country. Countries have the prerogative to prioritize which issues finally find expression in the NPoA. The implication of this is that some key indicators which may be of relevance for the continental MER system may fall out of the final monitoring process. For the Agenda 2063 and Agenda 2030 this challenge is cured at the national level during preparations of the national development plans where a country's international commitments are captured.

<sup>17</sup> This does not preclude the inclusion of qualitative indicators such as the signing, ratification and domestication of international standards and codes or legal and regulatory frameworks

Realising the differences in development levels and capacities amongst APRM countries, the mechanism has generally avoided establishing specific benchmarks or targets for the indicators but rather recommends that State parties should set specific benchmarks or targets for themselves in the National Plans of Action. The importance of the "progressive realization" of the indicators concerned, underlines the use of qualitative as well as quantitative data to assess adequately the progress over time.

The continental MER should be guided by the baseline data submitted by countries through their respective CSARs.

Ideally, to enable ease of comparison among the various indicators, the KMM&E should develop an M&E manual to guide country-level MERs. This suggestion is, however, tedious, given the fact that all the initiatives (APRM, Agenda 2063 and Agenda 2030) allows countries to define indicators to suit national contexts. Additionally, NGCs rely on existing country level MER systems which the NGCs have very little control.

The APRM has not set out key targets for countries to meet and hence the continental MER should be guided by the targets set by both the Agenda 2063 and the Agenda 2030.

### **10.7. Evaluations**

Country level

The NGC should undertake evaluations exercises to ascertain the following:

Evaluation criteria	Key questions to be addressed
Strategy and direction	<ul style="list-style-type: none"> <li>• Do the NGC’s sensitization and education strategies ensure that the broad masses of citizens are aware of the APRM?</li> <li>• If the communication strategy effective in carrying across the APRM message?</li> <li>• Was the mapping strategy effective in harmonizing the NPoA activities onto the national development plan?</li> </ul>
Management and governance	<ul style="list-style-type: none"> <li>• Does the organizational set-up of the NGC ensure that all stakeholders are consulted/engaged?</li> <li>• Does the engagement strategy exclude certain key stakeholders (such as the vulnerable, minorities, youth, etc?)</li> <li>• Does the institutional set-up of the NGC ensure that its products are used by the relevant state institutions?</li> </ul>
Uptake	<ul style="list-style-type: none"> <li>• Are the populace aware of the activities of the NGC? Are the populace accessing and sharing the products of the APRM activities</li> </ul> <p>To what degree are local institutions utilizing APRM products</p>
Outcomes and impact	<ul style="list-style-type: none"> <li>• What contributions are the implementation of the APRM activities having on the following:</li> <li>i. Participation and inclusion of all stakeholders of national development</li> <li>ii. Safety and security of life and property</li> <li>iii. Promotion of women rights</li> <li>iv. Promotion of children and youth rights</li> <li>v. Promotion of rights of the vulnerable</li> <li>vi. Economic transformation of the country</li> <li>vii. Employment generation for the youth</li> <li>viii. Poverty reduction</li> <li>ix. Reducing corruption</li> <li>x. Enhancing the business environment</li> </ul>
Context	<ul style="list-style-type: none"> <li>• How does the changing political, economic and organizational climate affect the implementation of the APRM?</li> <li>• How does the APRM affect the political, economic and organizational climate of the country?</li> </ul>

As much as practicable, the evaluations should be carried out by external evaluators (that is institutions/persons not directly involved with the NGC).

Continental level

The KMM&E will undertake the following evaluations:

Evaluation criteria	Key questions to be addressed
Strategy and direction	<ul style="list-style-type: none"> <li>• Does the composition, structure and operations of the NGC ensure broad-based participation of stakeholders?</li> <li>• Does the planning environment ensure effective harmonization of the NPOA and national development plans?</li> <li>• Are APRM activities adequately funded?</li> </ul>
Management and governance	<ul style="list-style-type: none"> <li>• Is the operations of the NGC free from political manipulation?</li> <li>• The level of divergence between indicators of APRM progress reports and international reports such as Mo Ibrahim Index, Economic Transformation Index, etc.</li> </ul>
Uptake	<ul style="list-style-type: none"> <li>• To what degree are local organizations and institutions accessing and utilizing the products of the APRM?</li> <li>• To what extent are other institutions (other than local institutions) are utilizing APRM products</li> </ul>
Outcomes and impact	<ul style="list-style-type: none"> <li>• What contributions are the implementation of the APRM activities having on the following: <ul style="list-style-type: none"> <li>i. Participation and inclusion of all stakeholders of national development</li> <li>ii. Safety and security of life and property</li> <li>iii. Promotion of women rights</li> <li>iv. Promotion of children and youth rights</li> <li>v. Promotion of rights of the vulnerable</li> <li>vi. Economic transformation of the country</li> <li>vii. Employment generation for the youth</li> <li>viii. Poverty reduction</li> <li>ix. Reducing corruption</li> <li>x. Enhancing the business environment</li> <li>xi. Changes in resource allocations towards pro-poor programmes</li> </ul> </li> </ul>
Context	<ul style="list-style-type: none"> <li>• How does the changing political, economic and organizational climate affect the implementation of the APRM?</li> <li>• How does the APRM affect the political, economic and organizational climate of the country?</li> </ul>

## 0.8. Roles and Responsibilities of partners and collaborators in implementing APRM MER system

### a) Country-level

Data collection, Validation & Management	Data Aggregation, Analysis, Reporting	Review, Learning, Dialogue
<p>National Statistics Bureaus, Planning Ministries, Research Institutions</p> <ul style="list-style-type: none"> <li>• Data collection, management and analysis at sub-national and national levels</li> <li>• Data validation and accountability</li> <li>• Oversight of APRM activities via Technical Working Groups</li> </ul>	<p>National Governing Commissions/ Councils</p> <ul style="list-style-type: none"> <li>• Data aggregation and analysis at national level</li> <li>• National report validation</li> <li>• APRM Annual Progress Reports to national stakeholders</li> <li>• APRM Annual Progress Reports to APRM Continental Secretariat</li> </ul>	<p>National Governing Council/Focal Point</p> <ul style="list-style-type: none"> <li>• Reports to relevant national forums (Parliamentary Committees, Inter-Ministerial Review Meetings, MDDBS Review meetings, Sector Working Groups, etc)</li> </ul>
<p>CSOs and Private Sector at all levels</p> <ul style="list-style-type: none"> <li>• Data collection, management and analysis associated with their activities</li> <li>• Data validation and accountability</li> <li>• Oversight of APRM activities via Sector Working Groups</li> </ul>	<p>National Governing Councils/ Commissions</p> <ul style="list-style-type: none"> <li>• Populating the Continental APRM e-platform with country level data</li> </ul>	<p>National Governing Council/Focal Point</p> <ul style="list-style-type: none"> <li>• Reports to continental APRM review meetings</li> </ul>
<p>Regional and International Organizations</p> <ul style="list-style-type: none"> <li>• Capacity strengthening (tools and methods) for data collection and analysis at all levels</li> <li>• Oversight of APRM activities via Sector Working Groups</li> </ul>		

Development Partners <ul style="list-style-type: none"> <li>• Financing support for data collection and analysis</li> <li>• International standardized data</li> <li>• Oversight of APRM activities via MDBS Review Committees</li> </ul>		
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b) Continental level

Data collection, Validation & Management	Data Aggregation, Analysis, Reporting	Review, Learning, Dialogue
National Statistics Bureaus, Planning Ministries, Research Institutions <ul style="list-style-type: none"> <li>• Data collection, management and analysis at sub-national and national levels</li> <li>• Data validation and accountability</li> <li>• Oversight of APRM activities via Technical Working Groups</li> </ul>	Knowledge Management, Monitoring and Evaluation Division <ul style="list-style-type: none"> <li>• Data aggregation and analysis at continental level</li> <li>• Commissioning of special thematic studies of countries</li> <li>• Country reports to APR Panel</li> <li>• Country Reports to continental institutions (Pan African Parliament, RECs, etc)</li> </ul>	Continental Secretariat <ul style="list-style-type: none"> <li>• Reports to relevant continental institutions and forums (Pan African Parliament, RECs, etc)</li> <li>• Reports to review meetings of strategic partners (UNDP, AfDB, UNECA)</li> </ul>
CSOs and Private Sector at all levels <ul style="list-style-type: none"> <li>• Reports to review meetings of strategic partners (UNDP, AfDB, UNECA)</li> <li>• Data validation and accountability</li> <li>• Oversight of APRM activities via Sector Working Groups</li> </ul>		APR Panel <ul style="list-style-type: none"> <li>• Reports to Heads of State (APR Forum) and other continental/ international forums</li> <li>• Country dialogues with Heads of States and state institutions</li> </ul>



<p>Regional and International Organizations</p> <ul style="list-style-type: none"> <li>• Capacity strengthening (tools and methods) for data collection and analysis at all levels</li> <li>• Oversight of APRM activities via Sector Working Groups</li> </ul>		
<p>Development Partners</p> <ul style="list-style-type: none"> <li>• Financing support for data collection and analysis</li> <li>• International standardized data</li> <li>• Oversight of APRM activities via MDBS Review Committees</li> </ul>		

## 10.9. Communication and Reporting

### Country-level communication

NGCs should ensure that data collected (CSAR phase, CRR phase and progress reporting phase) is not just collected for reporting purposes to the APR Secretariat, but should determine how the information can be used to promote governance in-country.

Ideally, each NGC should develop a Communication Strategy clearly outlining how the country would share APRM-related information with key in-country stakeholders.

### Continental-level communication and reporting

Communication at the continental level shall be guided by the APR Secretariat's communication strategy which should aim at galvanising large segments of the people on the continent and the diaspora into action. The Strategy should clearly indicate how information and reports derived from the MER system would be packaged and disseminated to stakeholders.

### Reporting

The reporting schedules at both the country-level and continental – levels shall be synchronized with scheduled APRM meetings.

### Country-level reporting

The NGCs would determine in-country reporting schedules following consultations with key stakeholders. In any case, feedback from the reporting regimes should be received ahead of time to enable the NGC submit the annual progress reports to the APR Secretariat at least 2 months before an APR Forum.

## Proposed schedule for reporting in-country

Report type	In-country stakeholders	Feedback from stakeholders	APR Secretariat
Annual progress Report	1st week of February/ 1st September	1st week of March/ 1st week of October	1st week of April/ 1st week of November

### Continental-level reporting

The e-system is designed to receive continuous information from APRM participating countries, and to this end the Knowledge Management and M&E Division will produce progress reports on demand.

The following APRM reporting schedule is proposed:

- a) Semi-annual reports The KMM&E division will prepare a draft synthesis report and submit it to the CEO by the 20th day of May/November each year. The reports shall be analytical, summarising the status of the achievements of implementation of the National Programmes of Action and the state of governance on the continent.
- b) Annual reports will focus on progress made in each participating APRM country. The KMM&E division will submit a synthesised paper to the CEO by the 7th of December/June. These are comprehensive annual evaluation reports, giving a detailed assessment of performance. The report also highlights common issues occurring across all implementing countries, highlighting issues of sustainability of strategies and processes. The report analyses the semi-annual progress reports, and serves as the base document for the annual reflective meetings and the Methodology forums.

### 10.10. Critical Reflections

A critical undertaking in MER is the regular and orderly assessment of the stage at which the project/programme implementation is. The monitoring of activity implementation (process monitoring) focuses on why implementers are progressing the way they are, the constraints and opportunities, and the appropriateness of roles of different stakeholders in the process. The most common tool for monitoring of major interventions is through meetings and reports.

### Country-level

Process or event	Purpose & description	Whom to involve	Timing
NGC review meetings	Review of in-country strategies and reporting	Focal Point, NGC, NGC Secretariat	Quarterly
Annual progress review	Review NPoA implementation progress against set targets	Focal Point, NGC, Heads of Statistics and Planning Departments, Focal Persons in public, and private organizations, and CSO	Annually

## Continental-level

The following is proposed Panel review meetings, staff review meetings, Focal Point review meetings, NGC review meetings, Methodology review meetings, etc) that include monthly (staff review meetings), quarterly (Panel review meetings), bi-annual (methodology review meetings, Focal Point, NGC) and annual reviews. At each of the review MER meetings/workshops, implementers (APRM, AGA, APSA) shall present progress reports on particular interventions which shall be discussed and feedback given.

### 10.11. Reporting Format for Annual Progress Reports

SECTION TITLE	CONTENTS	NO. OF PAGES
Cover Note	Identify the reporting country, its reporting responsibility and the period covered by the report The report could also have an accompanying Note Verbale and messages from key country stakeholders relevant to the NPOA, i.e. President, Chair of the NGC and Focal Point	1
Information	Title Page Table of Contents List of Abbreviations	3
Forward by the Focal Point	Brief introduction to the Report	½
1. Executive Summary	A high-level overview of major events, what was achieved, what challenges remain and any other relevant strategic matters	2
2. Report preparation details	The period covered by the report Summary of the process followed in preparing the report	1
3. Governance overview and role of the APRM	Summary overview of major governance-related events that took place during the reporting period Reflect on the APRM's contribution to changes in the quality of the country's governance, taking care to reflect on causality and attribution	
4. Detailed report on progress in implementing the NPoA	Five sections, a shorter one on the Standards and Codes, and one each of the thematic areas, structured as per the original Programme of Action	4pp+4x8pp=36
5. Detailed report on progress in implementing Agenda 2063 and Agenda 2030	Two sections, one each of Agenda 2063 and Agenda 2030	2x5pp=10
6. Progress in addressing cross-cutting issues	An update on progress made in addressing cross-cutting issues raised in the Country Review Report as well as a reflection on new cross-cutting issues that have arisen during the reporting period	4
7. Reflection on non-NPoA matters	Reflect on and review important governance-related matters not addressed in the NPoA (which may have been raised or omitted in the Country Review Report)	2

8. NGC information	Update on developments in the country's NGC, including any changes in its membership or composition and a brief overview of its activities	1
9. Appendices	List of submissions received for the preparation of this report Proceedings of the validation workshop	As long as necessary

## 11. APRM CODE OF CONDUCT

### 11.1. APRM Code of Conduct

The aim of the APRM Code of Conduct for Country Reviews is to provide operational and behavioural guidelines for the Country Review Mission Teams. This purpose is to ensure that the external review mission teams conducts itself in a professional and ethical manner, observing internationally recognized diplomatic etiquette and AU mission protocols.

This section presents the rules and procedures of the review team, including the modalities of selection, the composition, the general responsibilities, the privileges and the immunities.

1. The APR Secretariat may engage, with the approval of the APR Panel, the services of experts and institutions that it considers competent and appropriate to act as its agents in the peer review process (APRM Base Document paragraph 11). The procedures of selection of these experts and institutions are the following:

2. The APR Panel recommends to the APR Forum a list of appropriate experts, individuals and institutions to conduct the peer review process (Rules and Procedures of the APR Panel).

3. The APR Base Document (paragraph 11) and the APR Organisation and Processes Document (paragraph 3.8) state that the APR Secretariat should give priority to African experts as much as possible, however, in exceptional circumstances, the APR Secretariat may, with the approval of the APR Panel, utilise the services of non-African experts, individuals or institutions.

4. The pool of technical expertise should be established through a competitive process, and the pool must be reviewed regularly (APR Organisation and Processes Document, paragraph 3.8).

5. The Heads of State and Government Implementation Committee (HSGIC) have designated a few institutions (UN Economic Commission for Africa; African Development Bank; and the African Union-AU) as the primary resource institutions to conduct technical assessment in their respective areas of competence, namely economic governance, banking and financial standards, and human rights, democracy and political governance (APR Organisation and Processes Document, paragraph 6.2-6.3).

6. Where the AU institutions have inadequate or no capacity, the APR Panel will recommend, for approval by the APR Forum, appropriate African Institutions with requisite capacity to support the relevant AU institutions, with a view to build their capacity in conducting technical assessments. (APR Organisation and Processes Document, paragraph 6.4).

7. The APR Panel will also advise the APR Forum as to which African institutions will be invited to conduct the technical assessments on corporate governance and socio-economic development (APR Organisation and Processes Document, paragraph 6.5).
8. It is expected that the APRM will have to work with a wide range of partner institutions, including those that set international standards, oversight institutions, African research and policy institutions engaged in policy advisory services (APR Organisation and Processes Document, paragraph 6.6).
9. The APR Panel may recommend to the APR Forum the making of partner agreements with all competent institutions that wish to strengthen the APR process at country, regional, or continental levels, provided that one technical criterion for the selection of such institutions would be the protection of African ownership of the APRM (APR Organisation and Processes Document, paragraph 6.6).

## **11.2. Composition**

10. An APR Mission Team will be established at the outset of each country review process.
11. The services of the Pool of Experts and the APR Partner Institutions are contracted for the Country Review following consultation between the country to be reviewed and the APR Secretariat [APRM Organisation and Processes Document, Paragraph 6].
12. The Composition of the APR Mission Teams will be carefully designed to ensure an integrated, balanced, and technically competent and professional assessment of the reviewed country. The APR Panel approves the composition and the terms of reference of the Country Review Team for each country to be reviewed [APRM Organisation and Processes Document, Paragraph 6].
13. The APR Mission Team may be utilized at different stages of the APR process, including in:
  - i. Assisting countries to prepare for and to participate in the APR process;
  - ii. Supporting the self-assessments done by the participating countries;
  - iii. Assisting the APR Secretariat in drafting the Issues Paper;
  - iv. Conducting Technical Assessments on specific issues of concern to the participating country and the APR Secretariat;
  - v. Visiting the country to review progress with the country's programme of action, and carry out the widest range possible of consultations with government officials, parliamentarians, representatives of Civil Society, and business communities;
  - vi. Drafting the country review report and holding discussions with the Government and other stakeholders of the country reviewed on the findings and recommendations of the report;
  - vii. Submitting the country review report to the APR Secretariat;

## **11.3. General Obligations**



14. Every review exercise carried out under the authority of the APRM must be technically competent, credible and free of political manipulation (APRM Base Document paragraph 4). The APR Mission Team shall not interfere in the political affairs of the reviewed countries.

15. The APR Mission Team members shall maintain their independence by not accepting any instructions relating to the performance of their duties from any governments, or other entities or persons external to the APR Panel and APR Secretariat.

16. Under the control and direction of the APR Panel and the APR Secretariat, the APR Mission Team shall be responsible for ensuring that the rules and procedures contained in the Guidelines for Countries to prepare for and participate in the peer review process are properly carried out.

17. The APR Mission Team shall be accountable to the APR Panel and the APR Secretariat.

18. The sensitive and confidential nature of their work requires of the APR Mission Team members a high degree of integrity. The APR Mission Team members shall conduct themselves at all times in a manner befitting the purpose of the APRM.

19. The APR Mission Team shall not engage in any activity that is incompatible with the proper discharge of their mission with the APR. They shall avoid any action and, in particular, any public pronouncement or personal gainful activity that would lead to real or apparent conflicts of interest, or adversely or unfavourably reflect on their mission or on the integrity, independence and impartiality that is required by the APRM.

20. The APR Mission Team members shall not accept in connection with their mission any remuneration, benefits, favour or gift of significant value from any governments or other entities or persons.

21. The APR Mission Team shall observe the utmost discretion with regard to all matters relating to the peer review process both while they are on mission with the APR and after their service with the APR has ended. In particular, they shall refrain from the improper disclosure, whether direct or indirect, of information related to the APRM, or to participating countries.

22. All rights in any work produced by the APR Mission Team members as part of their official duties shall belong to the APR Panel and the APR Secretariat.

#### **11.4. Privileges and Immunities**

23. The APR Mission Teams shall enjoy in the territory of participating countries, in the interests of the APRM, privileges, immunities, and facilities as may be necessary for the independent exercise of their missions, in accordance with the General Convention on Privileges and Immunities of the Organisation of African Unity and the 1961 Vienna Convention on Diplomatic Relations.

24. To the extent permitted by law, any member of the APR Mission Team, who is made or threatened to be made, a party to any action, suit or proceeding, due to the fact that such person is or has been a member of the APR Mission Team, shall be indemnified by the APRM Forum against all reasonable expenses and costs, actually and necessarily incurred by such member.

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**i.**

Assisting countries to prepare for and to participate in the APR

**ii.**

Supporting the self-assessments done by the participating countries;

**iii.**

Assisting the APR Secretariat in drafting the Issues Paper;

**iv.**

Conducting Technical Assessments on specific issues of concern to the participating country and the APR Secretariat;

**v.**

Visiting the country to review progress with the country's programme of action, and carry out the widest range possible of consultations with government officials, parliamentarians, representatives of Civil Society, and business communities; parliamentarians, representatives of Civil Society, and business communities;

**vi.**

Drafting the country review report and holding discussions with the Government and other stakeholders of the country reviewed on the findings and recommendations of the report;

**vii.**

Submitting the country review report to the APR Secretariat;



### **11.3. General Obligations**

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24. To the extent permitted by law, any member of the APR Mission Team, who is made or threatened to be made, a party to any action, suit or proceeding, due to the fact that such person is or has been a member of the APR Mission Team, shall be indemnified by the APRM Forum against all reasonable expenses and costs, actually and necessarily incurred by such member.



## 12. COMMUNICATION AND OUTREACH



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### 12.1. Introduction

This Chapter is aimed at consolidating APRM guidelines for i) internal and external communication, ii) Public engagement iii) APRM branding. This chapter is informed by the APRM's Communication and Strategy document. The guidelines for the toolkit are further supported by the APRM Key Priorities for the Strategic Plan 2016-2020 which notes that Shared Values Advocacy and Communication will be part of the organisations priority areas . Given the strides the institution has made towards integration as a specialised organ of the African Union(AU), the Communications guidelines will therefore emulate AU standards.

### 12.2. APRM Policy and Basic Guidelines

The policy shall be informed by the following objectives of the APRM, particularly to foster the adoption of policies, standards and practices that lead to political stability, high economic growth, sustainable development and accelerated sub-regional and continental economic integration through experience sharing and reinforcement of successful and best practices, including identifying deficiencies and assessment of requirements for capacity building. Given the extension of APRM mandate. The APRM policy has to take into account new developments such as the 28th AU Assembly of Heads of States and Government which further extends the APRM's mandate. The extended mandate involves the tracking of the implementation and oversee, monitoring and evaluating of the Continent's key governance areas. Moreover, the AU Assembly adopted a resolution to have African Union (AU) Agenda 2063 and United Nations Sustainable Development



Goals (SDGs), Agenda 2030 on the list of the APRM's monitoring and evaluation projects.

The APRM Communication Plan is underpinned by the following pillars that have equal importance: Shared Values Advocacy (Strategic Plan), Branding, Publications, Social Media, Events and Campaigns. The 2016 -2020 however has references Shared Values Advocacy and Communication mainly because it is a common pillar that the APRM shares with the AU. The Shared Values Advocacy is aimed at getting APRM message to our target market particularly our strategic partners. Sharing of networks through the "networks of networks" plan is paramount in opening up as well as the maintenance of communication channels that maximize information dissemination.

### **12.3. Internal and External Communication**

The APRM Communication has not only the responsibility to develop and implement effective internal and external communication strategic plan but also needs to ensure the existence of an effective monitoring mechanism to measure and gauge the appropriateness of all internal and external communications.

Both Internal and external Communication should be informed by a strategic plan with the following components:

#### **Step 1: Introduction and background**

This is to explain the purpose and background of the communication plan considering the Shared Value Advocacy and the extended mandate of the APRM to reach overall organisation goals and needs.

#### **Step 2: Analyse internal or external environment with PASTEL or/and a SWOT Analysis framework**

This is to understand the environment in which the strategy will be developed for and implemented in. the strategy needs to be catered appropriately of the given environment in order to cultivate positive outcomes.

#### **Step 3: Outline Objectives**

Communication objectives emanate from the overall organisation objectives which reflect in AU Agenda 2063. These objectives will justify the strategy and activities selected to achieve. The objectives have to be Specific, Measurable, Attainable, Reachable and Time bound.

#### **Step 4: Identify Activities**

Each activity forming part of the strategy needs to be selected on the basis of their ability of achieving the objectives.

#### **Step 5: Implementation**

The implementation of the activities is done over a determine period of time by designated individuals with specific roles and responsibilities.

#### **Step 6: Cost implications (budget)**

Communication activities cost should be reflected in an itemised budget.

#### **Step 7: Monitoring and Evaluation**

Activities should be monitored and evaluated to measure the impacts and outcomes. Both internal and external Communication are integrative of the indicated communication pillars Shared Values Advocacy (Strategic Plan), Branding, Publications, Social Media as well as Events and Campaigns.



Examples of Internal communication activities relate, but are not limited to:

- Weekly divisional meetings
- Information board
- Monthly secretariat brown bag meetings
- Newsletter
- Intranet
- APRM Communication Network

External Communication activities relate, but are not limited to:

- Press Conference
- Event Launch advertising campaign
- Country Review Mission communication

As Country Mission being one of APRM's core activity, a media record is developed to factor all communication activities.

**The record is composed of the following:**



## **1) Communication Plan:**

The overall objective of the mission communication plan is to increase APRM's visibility through various media engagements, branding strategies and publicity initiatives during the Country Review Mission.

The activities outlined in the plan seek to enhance the profile of the APRM and increase access to information to media and other stakeholders to draw maximum benefits in its endeavour to attract Non-members to accede and general awareness raising.

## **2) Media Information Pack**

The purpose of the information pack is to allow the media to appreciate the scope and the nature of the APRM country review process. This document will highlight the review process, the objectives of the Liberian review mission as well as details around the media engagement activities including the press conference.

## **3) Press Conference and Press releases**

The Press Conference is held on the margins of the Review Mission Launch, hosted by the Head of State. The Press Conference consist of having the Lead Panelist deliver a speech delivered to media and addressed to the country different authorities and the public on the country mission. The speech will be drafted by the APRM Continental Secretariat before the event. The media is offered an opportunity for Q&A limited to the scope of the mission as indicated in the Media Information Pack, thus excluding any political sensitive topics for instance.

## **4) Press Releases**

Press releases are produced for each highlight of the mission by the communication officer and approved by the country coordinator and Lead Panelist. The press release needs to be brief but specific by underlining the name of the event, the date and the place; who were the principal players, the key point of discussion and the main decision of the meeting/event. Press releases should be having a picture accompanying the release.

Each press release is distributed to the Continental Secretariat, to the National Secretariat and local media. The Press release are also uploaded on the website and the link as well as the picture are posted on social media for a greater impact. It is critical for the press releases to be distributed within 24 hours from the time of the event before the news becomes obsolete for media.

Press releases are written and shared with media so that they may publish it. It is the responsibility of the communication to capture or collect media clippings (newspaper, social or other media mentioning any information related to the APRM mission). This is done for the purpose of measuring the reach, the media or public perception and the awareness of the APRM in the country at the time of the mission.

## **5) Social Media**

The Communication Officer is in charge of posting regularly on APRM social Media platform as well as assessing online interaction. Every highlight of the mission should be uploaded on the online platforms. It is also the Communication Officer responsibility manage online requests and comment.

## **6) Media Relationship Management**

Media Relationship management consist of building up relationships with media by maintaining the a flow of communication through press releases but also through media advisory which is an official media invitation to attend a specific event. However, Media

Relationship Management relies significantly on having a relevant media database.

Thus, another responsibility of the communication officer in the mission is to build a database. This can be achieved with the input of the National Secretariat. Once a media database is developed, the media advisory is redacted and sent to the media ahead of the mission.

## **7) County visit**

The last stage of the mission and most critical, before the writing of the Review Report, is the country visit. In order to maximize the outcome of the visits, each team is allocated to regions and will have to report daily on the interviews and focus groups in a form of media report with pictures. The communication Officer should produce an additional briefing document to share the guidelines on how the media reports should be drafted and submitted.

The communication officer has to send out an official announcement with the list of the regions, departments or counties that will be visited by the mission team. The announcement needs to have the specific dates of visit in the selected counties as well as the contact details of the mission communication officers from both the Continental and National secretariat.

The communication of the mission will conclude with a report of the visits within the country comprising each report on the focus groups and interviews that were carried in their counties. It is advised that each team send out their brief.

## **12.4. Key Responsible Persons**

- Chairperson of the APR Forum
- Unless otherwise delegated to the CEO or the Company spokesperson, the Chairperson shall be the spokesperson on matters related to the APRM.
- The CEO shall assume the responsibility of being the 'voice and face' of the APRM. He however may from time-to-time delegate this responsibility to the Head of Communications or any of the Heads of Division. The CEO is responsible for the overall oversight functioning of the Communications Department.
- The APRM Continental Secretariat shall be responsible for putting together communication strategies, branding and public relations campaigns, media relations, and events planning.

## **12.5. Public Engagement**

The quality and form of messages about the APRM influences perceptions just as much as the content itself. To gain the respect and enthusiastic support of governments and the citizens towards this self-monitoring governance mechanism, the secretariat seeks the input of professional media agencies in developing the right message and advise on the best methodology of disseminating it. Professional engagement with the public is therefore a basic requirement. Intelligent use of new forms of social media such as WhatsApp, Facebook, Twitter, Snapchat and Instagram must be used. These mass media applications should accordingly be customized to preserve the APRM brand.

## **12.6. APRM Branding**

The visibility and image of the APRM is central to the identity of the organization and communication of the organization's purpose. Good branding campaigns are necessary in shaping citizen's attitude and perceptions towards the APRM. A coherent APRM brand is important to the goal of 'Universal Accession'. Standardizing the APRM cooperate identity in all member states is central for achieving the institutions

## communications targets.

i)

The usage of the revamped APRM logo with a more defined African continent image is mandatory.

ii)

The APRM is accompanied by the African Union (AU) logo. The AU logo is always positioned on the left side of the APRM logo. The AU logo should be 10% smaller than the APRM logo thus giving APRM logo more prominence.

iii)

The APRM logo only exists in two colour versions one being the black and white version and the other being the full colour version. No other colour versions exist.

iv)

In order to maintain the logo's visual impact, its reserved space must always be observed around the logo. This is equal to the height of the letter "c" in the logo icon. This space must not be encroached upon by adjacent elements, whether text, photographs or other marks.

Communication plays a pivotal role in the growth and revitalization of APRM. It is therefore crucial to harmonise the institution's communication policy and strategies. More detailed information about APRM communication policy and strategy can be referenced from the, 'APRM Communications and Branding Plan (2016-2020) and the 'Africa Peer Review Mechanism (APRM) Strategic Plan 2016-2020. It is important that all structures of the APRM familiarise themselves with APRM's communication guidelines.







# 13. FUNDING OF THE APRM



# 13.FUNDING OF THE APRM

## FUNDING OF THE MECHANISM

The APRM is funded from APR Member State contributions as determined from time to time by the APR Forum. Where possible, Member States, make special contributions to the APRM beyond their regular annual contributions on a voluntary basis. The APRM can receive financial contributions from the African Union (AU).

The APRM may also receive donations, including from African and international Institutions and the private sector, on criteria to be adopted by the APR Forum provided that such support shall not compromise the autonomy, independence, integrity and African ownership of the APRM and all its processes.

Support from external partners, is therefore, accepted on the basis that the APRM does not rely on external partners for funding, and that such partnership funding should respect African ownership of the APRM and all its processes. Support from external partners is sought mainly for the implementation of the Country Programme of Action and capacity building to improve performance.

The annual membership contribution is USD 200,000.00. The APRM also receives financial contribution from its strategic partners and has embarked on new strings of project fundraising which include the SMS campaign.



## 14. GLOSSARY OF TERMS



# 14. GLOSSARY OF TERMS

The APRM glossary is a catalogue of the key terms used by the mechanism. These will be operational definitions that are specific to the APRM philosophy and AU Character. The glossary will be developed using various reference material from the African Union, international development agencies and intergovernmental organisations.

APRM GLOSSARY		
Term	Definition	Reference
Democracy and Political Governance		
Access to information	The ability or right to have key information and data readily available from the government and any public body.	Transparency International. 2016. Anti-corruption Glossary of terms. What is Access to information?  <a href="https://www.transparency.org/glossary/term/access_to_information">https://www.transparency.org/glossary/term/access_to_information</a>
Accession (Voluntary)	It is the act whereby a state voluntarily accepts the opportunity to become a member of the APRM by signing its Memorandum of Understanding.	Corrigan, T. 2015. Governance and APRM Programme. Why the APRM must remain voluntary? SAIIA. Policy Briefing 130
Accountability	It means that the government and all public institutions are transparent about their work and are monitored by relevant institutions that have oversight with the ability to enforce compliance with specified rules, norms and policies.	Stapernhurst, R & O'Brien M. 2008. Accountability in Governance.  World Bank Institute.
Adoption	It is the expression of consent by the states participating in the treaty-making process.	United Nations, Vienna Convention on the Law of Treaties, 23 May 1969, United Nations, Treaty Series, vol. 1155: 331  <a href="http://www.refworld.org/docid/3ae6b3a10.html">http://www.refworld.org/docid/3ae6b3a10.html</a> accessed 16 February 2017
Corruption	Corruption is the abuse of public power for private gain. It can be classified as grand, petty and political, depending on the amounts of money lost and the sector where it occurs	Transparency International. 2016. Anti-corruption Glossary. What is corruption?  <a href="https://www.transparency.org/what-is-corruption/">//www.transparency.org/what-is-corruption/</a> Accessed 24 January 2017

Civil Society	It refers to a body of non-state actors, non-governmental and not-for-profit organizations that have a presence in public life and represents the interests and values of their members based on ethical, cultural, political, scientific, religious or philanthropic considerations.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 3 February 2017
Decentralisation	It is the process of transferring powers, authority, functions, responsibilities and the resources from central government to local governments or administrative divisions.	Republic of Rwanda. 2017. Ministry of Local government. Minaloc Programmes. Decentralisation.  <a href="http://www.minaloc.gov.rw/index.php?id=30">http://www.minaloc.gov.rw/index.php?id=30</a>  Accessed 23 January 2017
Global North	A term used for the regions such as Europe and the North America that are in the Northern hemisphere	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Global South	Refers to regions that are situated in the South. These countries cover all countries in Africa, South East Asia and Latin America	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Government tendering System	It is a process where by an organisation invites for the supply of goods and services, and awards the contract to the best offer according to predetermined criteria without negotiation	Woods, G.G. 2008. Financial Management and cost accounting. Cape Town: University of Stellenbosch
Human Rights	Human rights are rights inherent to all human beings, regardless of creed or colour. They are expressed and guaranteed by law, in the forms of treaties, customary international law, general principles and other sources of international law	United Nations. Human Rights Office of the High Commissioner (OHCHR), 2014. What are Human Rights?  <a href="http://www.ohchr.org/EN/Issues/Pages/WhatareHumanRights.aspx">http://www.ohchr.org/EN/Issues/Pages/WhatareHumanRights.aspx</a>  Accessed 15 February 2017
International arbitration instruments	These are legally binding mechanisms for resolving disputes between a host country government and an investor, typically relating to commitments made in the agreement.	OECD. 2017. Policy Framework for Investment.  Accessed: <a href="http://www.oecd.org/investment/toolkit/policyareas/investmentpolicy/internationalarbitrationinstruments.htm">http://www.oecd.org/investment/toolkit/policyareas/investmentpolicy/internationalarbitrationinstruments.htm</a>



NGC	It means the National APRM Governing Council/Commission	APRM. 2016. Statute of the Peer Review Mechanism
Non-governmental Actors	These are individuals or organizations that have powerful economic, political or social power and can influence at a national and sometimes international level but are functionally independent of the government or State	Joey. A. 2017. The Role of Non-State Actors in International Relations. Academia.edu
Parastatals	These are organisations which are wholly or partially owned and managed by government	Sibanda, P., Mavenga, E., Maungandize, L & Ncube, F. 2014. African Journal of Business Management 8(22):1043-1052.
Participating States	Member States that have acceded into the APRM	APRM. 2016. Statute of the Peer Review Mechanism
Participation	It refers to the active engagement of citizens with public institutions, in trying to influence development processes and decisions that affect them for example voting, campaign and non-violent protest	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development.  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 3 February 2017
Political Settlement	The informal and formal processes, agreements, and practices in a society that help consolidate politics, rather than violence, as a means for dealing with disagreements	Laws, E & Leftwich, A. 2014. Political Settlements. Development Leadership Programme Concept Brief 01  <a href="http://publications.dlprog.org/PolSet.pdf">http://publications.dlprog.org/PolSet.pdf</a>  Accessed 14 February 2017
Political Economy	The interrelationships between political and economic institutions and processes. This involves how various types of governments affect the allocation of resources in society through their laws and policies	Morton, R. 2014. Political Economy Experiments: Introduction. The Economic Journal. 124 (574):129-130
Privatisation	It is the selling of state-owned enterprises to private investors that involves the transferring of major responsibility for their management and operation.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 3 February 2017
Public Administration	It refers to all the systems, procedures, codes, policy frameworks, accountability, mechanisms, management controls that ensure the functioning of all the spheres of the government.	Public Service Commission, South Africa 2014. The Booklet on PSC Mandate
Public Sector	It consists of governments and all publicly controlled or funded agencies, enterprises, and other entities that deliver public programs, goods, or services	OECD. 2014. The OECD Economic Outlook: Sources and Methods.  <a href="http://www.oecd.org/eco/outlook/sources-and-methods.htm">http://www.oecd.org/eco/outlook/sources-and-methods.htm</a>

Public-Private Partnership	When private sector companies, NGOs or other individuals and institutions have a long-term contract with the government for the provision public service	World Bank. 2014. What is Private-Public partnership?  <a href="http://ppp.worldbank.org/public-private-partnership/overview/what-are-public-private-partnerships">http://ppp.worldbank.org/public-private-partnership/overview/what-are-public-private-partnerships</a>
Regional integration	The unification of neighbouring states working within a framework to promote the free movement of goods, services and factors of production and to co-ordinate and harmonise their policies.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Ratification	When a state indicates its consent to be bound to a treaty. The state is given the necessary time-frame to seek the required approval for the treaty on the domestic level and to enact the necessary legislation to give domestic effect to that treaty	[Arts.2 (1) (b), 14 (1) and 16, Vienna Convention on the Law of Treaties 1969]  United Nations, Vienna Convention on the Law of Treaties, 23 May 1969, United Nations, Treaty Series, vol. 1155: 331
Refugees	A refugee is someone who has been forced to flee his or her country because of persecution, war, or violence.	UNHCR. 2017. What is a refugee?  <a href="http://www.unrefugees.org/what-is-a-refugee/">http://www.unrefugees.org/what-is-a-refugee/</a>
Rule of Law	It is the principle of governance in which all persons, institutions and entities, public and private, including the State itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards	Transparency International. 2016  Anti-corruption Glossary of Terms.  <a href="https://www.transparency.org/glossary/term/rule_of_law">https://www.transparency.org/glossary/term/rule_of_law</a>  Accessed 15 February 2017
Separation of Powers	It is a separation of three main spheres of government, namely, Legislative, Executive and Judiciary.	Mojapelo, J. 2013. The doctrine of the separation of powers. A south African Perspective. The Forum, Law Journals. Vol 26(1):37
State Owned Enterprises	They are also referred to as public bodies or independent bodies partially or wholly owned by government. They perform specific functions and operate in accordance with a particular Act	Republic of South Africa. 2017. State Owned Enterprises. Western Cape Government.  <a href="https://www.westerncape.gov.za/tenders/opportunities/state-owned">https://www.westerncape.gov.za/tenders/opportunities/state-owned</a>  Accessed 01 February 2017
Sub-national government or authority	It means that government functions be performed at local level. It Requires that local level government authorities be technically, administratively and politically empowered to undertake the functions devolved to them	Republic of Lesotho. 2014. National Decentralisation Policy for Lesotho. Ministry of Local Government, Chieftainship and Parliamentary Affairs

## SOCIO-ECONOMIC GOVERNANCE

Children	A child means every human being below the age of eighteen years unless under the law applicable to the child, majority is attained earlier	UN General Assembly, Convention on the Rights of the Child, 20 November 1989, United Nations, Treaty Series, 157:3,
Empowerment	Process whereby people gain more power over the factors governing their social and economic progress, for example through increasing the incomes and assets of the poor.	ILO. 2007. Glossary of Terms. International Labour Organisation. 2007b  <a href="http://www.ilo.org/wcmsp5/groups/public/---reports/---gender/documents/publication/wcms_113743.pdf">http://www.ilo.org/wcmsp5/groups/public/---reports/---gender/documents/publication/wcms_113743.pdf</a>  Accessed 25 January 2017
Equity	The quality of being fair or impartial. Equitable economies involve benefits and costs being fairly shared within society.	Gooden, S.T., 2014. Race and social equity: A nervous area of government. ME Sharpe
Feminisation of poverty	It is the growing female share of the population living under the poverty line.	Moghadam, V. M. 2005. Globalizing women: Transnational feminist networks. Baltimore, MD: The Johns Hopkins University Press.
Financial Inclusion	The share of individuals and firms that uses financial services	World Integrated Trade Solutions. 2017. Glossary  <a href="http://wits.worldbank.org/glossary.html">http://wits.worldbank.org/glossary.html</a>  Accessed 23 January 2017
Gender Equality	It means that both women and men, are equal and free to develop their personal abilities. Their rights and responsibilities will not be determined by gender and stereotypes set by society.	ILO.2007.Glossary of Terms.2007b International Labour Organisation  <a href="http://www.ilo.org/wcmsp5/groups/public/---reports/---gender/documents/publication/wcms_113743.pdf">http://www.ilo.org/wcmsp5/groups/public/---reports/---gender/documents/publication/wcms_113743.pdf</a>  Accessed 25 January 2017
Inequality	Uneven distribution of wealth, resources and well-being across members of society. It can also be defined as the state of not being equal, especially in status, rights, and opportunities	United Nations. 2015. Development Policy and Analysis Division  Department of Economic and Social Affairs. Concept of Inequality. Issue 1.  <a href="http://www.un.org/en/development/desa/policy/wess/wess_dev_issues/dsp_policy_01.pdf">http://www.un.org/en/development/desa/policy/wess/wess_dev_issues/dsp_policy_01.pdf</a>  Accessed 15 February 2017
Informal Sector	Refers to all income-earning production and exchange that takes place outside the formal and state-regulated economy	Omeria, M. 2009. Gender, Employment, and the Informal Economy: Glossary of Terms. International Labour Organisation

Internally displaced persons	These are people who are forced to flee their homes from one place to another in the same country as a result of war, civil conflict, political strife.	UNESCO. 2017. Learning to live together.  <a href="http://www.unesco.org/new/en/social-and-human-sciences/themes/international-migration/glossary/displaced-person-displacement/">http://www.unesco.org/new/en/social-and-human-sciences/themes/international-migration/glossary/displaced-person-displacement/</a>
Not for profit sector	An organisation that uses its surplus revenues to further achieve its purpose or mission, rather than distributing its surplus income to the organization's shareholders as profit or dividends.	Australia. 2010. Contribution of the Not-for-Profit Sector. Productivity Commission. Research Report, Canberra.
Social Inclusion	Providing people with the fundamentals of a decent life; opportunities to engage in the economic and social life of the community with dignity; increasing their capabilities and functioning; connecting people to networks of local community; supporting health, housing, education, skills training, employment and caring responsibilities.	2010, Contribution of the Not-for-Profit Sector, Productivity Commission. Research Report, Canberra Southern Africa Trust
Social inequities	Social inequality is the existence of unequal opportunities and rewards for different social positions or statuses within a group or society. These vary in three forms thus systematic, socially produced and unfairness.	Whitehead, M & Goran, D.2007. Concepts and principles for tackling social inequities in health: Levelling up Part 1. WHO Collaborating Centre for Policy Research on Social Determinants of Health. Liverpool
Social justice	Refers to the equal distribution of resources and opportunities regardless of factors that categorize people. It generally means the principles of fairness and equality.	Sensoy, Ö. & Dangelo, R. 2015. Is everyone really equal? An introduction to key concepts in social justice education. Teachers College Press
Social protection	It is concerned with preventing, managing, and overcoming situations that adversely affect people's well-being. It consists of policies and programs designed to reduce poverty and vulnerability.	UNRISD. 2010. Combating Poverty and Inequality: Structural Change, Social Policy and Politics. United Nations Research Institute for Social Development
Vulnerable groups	Groups of people in a condition or situation involving higher risk and reduced ability to cope with shocks or negative impacts. It may be based on socio-economic condition, gender, age, disability, ethnicity, or other situations and characteristics that influence people's ability to access resources and development opportunities.	Hoogeveen, J., Tesliuc, E., Vakis, R & Dercon, S. 2005. A Guide to the Analysis of Risk, Vulnerability and Vulnerable Groups. World Bank
Youth	Youth or young people shall refer to every person between the ages of 15 and 35 years.	UNESCO. 2016. Human and Social Sciences. African Youth Charter  <a href="http://www.unesco.org/new/en/social-and-human-sciences/themes/youth/strategy-african-youth/african-youth-charter/">http://www.unesco.org/new/en/social-and-human-sciences/themes/youth/strategy-african-youth/african-youth-charter/</a>  Accessed 18 February 2017

## ECONOMIC GOVERNANCE

A common market	When a group of countries agree to trade among themselves, and have a common set of barriers to trade with other countries and free movement of labour among themselves	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Arrears	It refers to the backlog of debt payments that have not been made and have built up over time.	African Forum and Network on Debt and Development. 2014. Glossary of Terms.  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accesses 3 February 2017
Balance of payments	A statement summarizing the economic transactions between the residents of a country and non-residents during a specific period, usually a year. The BOP includes transactions in goods, services, income, transfers and financial assets and liabilities. Generally, the BOP is divided into two major components: the current account and the capital and financial account	IMF. 2007. Manual on Fiscal Transparency, Glossary. International Monetary Fund. IMF, Washington DC,  <a href="http://www.imf.org/external/np/exr/glossary/showTerm.asp#A">http://www.imf.org/external/np/exr/glossary/showTerm.asp#A</a> Accessed 25 January 2017
Bilateral Debt	It is debt owed by one government to another.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accesses 3 February 2017
Capital formation	Means increasing the stock of real capital in a country. It involves making of more capital goods such as machines, tools, factories, transport equipment, materials, electricity, etc., which are all used for future production of goods	Chand, S. 2016. Capital Formation: Meaning and Process of Capital Formation Economics. yourarticlelibrary.com
Central Bank	A government-owned and operated bank, that controls a country's banking system and is the only money issuing authority. It acts as a banker to the commercial banking system and often to the government as well	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Debt Over Hang	It refers to a situation where the debt stock of a country exceeds its future capacity to pay.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017



Debt relief	It is a method used by the international financial institutions to help low-income severely indebted countries to rid themselves of debt. This involves recalculating current debt payments, interest and repayment periods	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Debt stock	Total amount of debt held by a country, including domestic and external debt	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Deregulation	A removal or reduction of government regulations and restrictions that affects the operation of a particular market or the economy as a whole.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Dollarisation	A shift towards the use of dollars or any other hard currency as a substitute for the local currency, usually in response to high inflation rates, low real interest rates and/or the expectation of a major devaluation.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Domestic Debt	Loans owed by government to creditors resident in the country and denominated in local currency	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
External Debt	The amount a country owes to other countries or foreign banks and to international financial institutions	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017

GDP	Gross domestic product is the most commonly used single measure of a country's overall economic activity. It represents the total value of final goods and services produced within a country during a specified time period, such as one year	International Monetary Fund. 2006. Glossary of selected financial terms. <a href="http://www.imf.org/external/np/exr/glossary/showTerm.asp#A">http://www.imf.org/external/np/exr/glossary/showTerm.asp#A</a> Accessed 25 January 2017
Globalisation	The integration of economies and societies as a result of increased trade liberalization and advances in communication technology which has led to the continuous flow of ideas, people, goods, services	IMF. 2007. Manual on Fiscal Transparency, Glossary. International Monetary Fund. IMF, Washington DC, <a href="http://www.imf.org/external/np/exr/glossary/showTerm.asp#A">http://www.imf.org/external/np/exr/glossary/showTerm.asp#A</a> Accessed 25 January 2017
GNP	Gross national product was formerly used as a measure of a country's overall economic activity, equal to GDP less compensation of employees and property income payable to the rest of the world plus the corresponding items receivable from the rest of the world; GNP has been renamed gross national income (GNI) in the System of National Accounts.	International Monetary Fund. 2006. Glossary of Selected Financial terms. <a href="http://www.imf.org/external/np/exr/glossary/showTerm.asp#A">http://www.imf.org/external/np/exr/glossary/showTerm.asp#A</a> Accessed 25 January 2017
Government linked company	These are state enterprises which compete with private firms and multi-national companies. Some, have been partially privatised and listed on stock exchange	Ramirez, C.D. & Tan, L. H. 2004. Singapore Inc. Versus the Private Sector: Are Government-Linked Companies Different? IMF Staff Papers 51(3)
Family owned Enterprise	It is a commercial organization in which decision-making is influenced by multiple generations of a family related by blood or marriage. They are closely identified with the enterprise through leadership or ownership	Carlock, R. S; Manfred Kets de Vries; Florent-Treacy, E. 2007. Family Business. International Encyclopaedia of Organizational Studies
Financial aid	It is any flow of capital to Less Developed Countries for the economic development of poor countries	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a> Accesses 3 February 2017
Financial System	It includes financial institutions (banks, insurance companies, and other nonbank financial institutions) and financial markets (such as those in stocks, bonds, and financial derivatives). It also includes the financial infrastructure (which includes, for example, credit information-sharing systems and payments and settlement systems).	World Integrated Trade Solutions. 2017. Glossary <a href="http://wits.worldbank.org/glossary.html">http://wits.worldbank.org/glossary.html</a> Accessed 23 January 2017
Fiscal Framework	A framework for integrating fiscal policy and budgeting over the medium-term by linking a system of aggregate fiscal forecasting to a disciplined process of maintaining detailed medium-term budget estimates by ministries reflecting existing government policies	IMF, 2007, Manual on Fiscal Transparency, IMF, Washington DC, Glossary

Fiscal tax	A tax which is levied on imported products as well as on domestically produced goods to generate revenue.	World Integrated Trade Solutions. 2017. Glossary of Terms.  <a href="http://wits.worldbank.org/glossary.html">http://wits.worldbank.org/glossary.html</a>  Accessed 23 January 2017
Fiscal Policy	The use of government spending and taxation to influence the economy	Weil, D.N. Fiscal policy. 2008. The Concise Encyclopaedia of Economics. 2nd Edition
Foreign Direct investments	Investment made by an individual or company resident in one country in the productive capacity in another country	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Free trade area	Trade within a group of countries that is duty free but members set their own tariffs on imports from non-members	World Trade Organisation. 2014. Glossary. A Guide to "WTO Speak".  <a href="https://www.wto.org/english/thewto_e/glossary_e/glossary_e.htm">https://www.wto.org/english/thewto_e/glossary_e/glossary_e.htm</a>  Accessed 3 February 2017
Import quota	The amount or the number of goods that can be imported or exported.	<a href="http://www.sln.org.uk/geography/Documents/Glossaries...">www.sln.org.uk/geography/Documents/Glossaries...</a>  Accessed 6 February 2017
Inflation	When there is a lot of money buying few goods resulting in general price increases and or rising production costs.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017Afrodad
International financial Institutions	Institutions governing international transfers of resources in the form of loans, investments, payments for goods and services, interest payments and profit remittances	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad
Micro Finance	It is the provision of financial services to low-income people. It stresses on the importance of financial literacy, establishing consumer financial capabilities, and for consumer protection policies that puts constraints on poor families in the informal economy into account.	Bauchet, J., Marshall, C., Starita, L., Thomas, J & Yalouris, A. 2011. Latest findings from Randomised Evaluation of Micro Finance. The Consultative Group to Assist the Poor, The World Bank

Micro, small and medium enterprises	<p>They are non-subsiary, independent firms which employ fewer than a given number of employees. This number varies across countries. The most frequent upper limit designating an SME is 250 employees.</p> <p>Small firms are generally those with fewer than 50 employees, while micro-enterprises have at most 10, or in some cases 5, workers</p>	OECD. 2005. OECD SME and Entrepreneurship Outlook: OECD Paris 17
Money Laundering	It refers to a financial transaction scheme that aims to conceal the identity, source, and destination of illicitly-obtained money.	UNDP. 2011. Definition and types of shocks and coping strategies coping strategies to be monitored.
Multi-lateral Debt	It is debt owed to a consortium of creditors like the World Bank or a regional development bank.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a> Accesses 3 February 2017
Odious Debt	Debt resulting from loans secured through corruption and under inappropriate structural adjustment conditions. It is when the creditor is aware that the money is borrowed and used without the public knowledge and consent.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>
Privatisation	Privatisation refers to transfer of ownership, management and control of government or state assets, firms and operations to private investors.	Butler, A., 2013. Resource nationalism and the African national congress. Journal of the Southern African Institute of Mining and Metallurgy, 113(1):11-20.
Public Debt	It is money owed externally by the government and public sector agencies.	IMF. 2000. External Debt Statistics: Guide for Compilers and Users (Draft), IMF, Washington DC, Appendix III, Glossary of Terms
Public expenditure	The total spending of all branches of government and of other agencies in the public sector for example health and educational institutions or authorities including the net losses of state-owned enterprises.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a> Accesses 3 February 2017
Remittances	These are earnings and material resources transferred by international migrants or refugees to recipients in their country of origin or countries in which the migrant formerly resided	Danilova, C. E., Tashpulatova, L & Bakhramova, M. 2013. Glossary of Human Development terms and definitions / English, Uzbek and Russian languages, 1st edition. UNDP

Sanctions	Encompass a broad range of enforcement options that do not involve the use of armed force in order to maintain peace and security	United Nations Security Council Affairs Division. 2017. Subsidiary Division. Sanctions.  <a href="https://www.un.org/sc/suborg/en/sanctions/information">https://www.un.org/sc/suborg/en/sanctions/information</a>  Accessed 15 February 2017
Shock	A sudden economic disturbance, such as a rise in the price of a commodity, the sudden disruption of trade and finance, or unexpected changes in the value of currency that can have negative effects on individuals, nation, regions or world.	UNDP. 2011. Definition and types of shocks and coping strategies coping strategies to be monitored.
Subsidies	A payment by the government or a public sector agency, to the producer or consumer of a good or service, to encourage its production and/or to reduce its cost to consumers.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accesses 3 February 2017
Tariffs	Customs duties on merchandise imports. Tariffs give price advantage to similar locally-produced goods and raise revenues for the government.	World Trade Organisation. Glossary. A Guide to "WTO Speak".  <a href="https://www.wto.org/english/thewto_e/glossary_e/glossary_e.htm">https://www.wto.org/english/thewto_e/glossary_e/glossary_e.htm</a>  Accessed 3 February 2017
Trade Deficit	When the value of a country's exports is less than the value of its imports.	<a href="http://www.sln.org.uk/geography/Documents/Glossaries...">www.sln.org.uk/geography/Documents/Glossaries...</a>  Accessed 6 February 2017
Trade liberalisation	The opening up of economies with an increase in international trade and a reduction in protectionism.	Afrodad. 2014. Glossary of Terms. African Forum and Network on Debt and Development Afrodad  <a href="http://www.afrodad.org/index.php/en/glossary-of-terms.html">http://www.afrodad.org/index.php/en/glossary-of-terms.html</a>  Accessed 6 February 2017
Trade Protection	Restrictions on the imports of goods and services from other countries in order to protect local producers from overseas competition. This may be through tariffs, subsidies and quality assurance standards, or labelling, safety and packaging requirements	<a href="http://www.sln.org.uk/geography/Documents/Glossaries...">www.sln.org.uk/geography/Documents/Glossaries...</a>  Accessed 6 February 2017
Volatility	Frequency, size and irregularity of movements in a price or other variable or participants in financial markets.	Cavalcanti, D.V., Tiago, V., Mohaddes, K. & Raissi, M., 2015. Commodity price volatility and the sources of growth. Journal of Applied Econometrics, 30(6):857-873.



## Corporate Governance

<p>Good Corporate Citizen (Includes corporate social responsibility)</p>	<p>It is the relationship between global corporations, governments of countries and its individual citizens. It can also be defined as the relationship between a corporation and the local society in which it resides or operate in.</p>	<p>Crowther, D &amp; Aras, G. 2008. Corporate Social Responsibility. Venous Publishing ApS ISBN 978-87-7681-415-1 Download free ebooks at bookboon.com</p>
<p>Intellectual Property Rights</p>	<p>It refers to ownership of ideas, including literary and artistic works protected by copyright, inventions protected by patents, signs for distinguishing goods of an enterprise protected by trademarks and other elements of industrial property</p>	<p>World Trade Organisation. Glossary. A Guide to "WTO Speak".  <a href="https://www.wto.org/english/thewto_e/glossary_e/glossary_e.htm">https://www.wto.org/english/thewto_e/glossary_e/glossary_e.htm</a>  Accessed 3 February 2017</p>
<p>Private Sector</p>	<p>These are institutions and companies that are not controlled by the public sector and operate for profit</p>	<p>Transparency International.2016. Anti-Corruption Glossary of Terms. What is Private Sector?  <a href="https://www.transparency.org/glossary/term/private_sector">https://www.transparency.org/glossary/term/private_sector</a>  Accessed 18 February 2017</p>
<p>Stakeholders</p>	<p>These are people or organization that has interest or concern in a corporation. Stakeholders can affect or be affected by the organization's actions.</p>	<p>James, P. 2002. Redefining the Corporation: Stakeholder Management and Organizational Wealth. Stanford University Press.</p>
<p>Two Tier Boards</p>	<p>It is a governing body that is comprised of two separate boards, a supervisory board and a management board</p>	<p>Tripathi, S. 2013. Comparative Board Structures Under Corporate Governance. Delhi High Court.  Framework Available at SSRN: <a href="https://ssrn.com/abstract=2282924">https://ssrn.com/abstract=2282924</a></p>
<p>Unitary boards</p>	<p>It is a governing body that is comprised of a single board</p>	<p>Tripathi, S. 2013. Comparative Board Structures Under Corporate Governance. Delhi High Court.  Framework Available at SSRN: <a href="https://ssrn.com/abstract=2282924">https://ssrn.com/abstract=2282924</a></p>

## General Terms

Capacity	The process by which individuals, organizations, and societies develop abilities to perform functions, solve problems, and set and achieve goals premised on ownership, choice, and self-esteem	<p>The World Bank. 2005. Capacity Building in Africa. An Evaluation of World Bank Support.</p> <p><a href="http://www.oecd.org/countries/mozambique/35280349.pdf">http://www.oecd.org/countries/mozambique/35280349.pdf</a></p> <p>Accessed 25 January 2017</p>
Capacity Building	To develop and strengthen structures, institutions and procedures that help to ensure: transparent and accountable governance in all public institutions; improve capacity to analyse, plan, formulate and implement policies in economic, social, environmental, research, science and technology fields; and in critical areas such as international negotiation	<p>The World Bank. 2005. Capacity Building in Africa. An Evaluation of World Bank Support.</p> <p><a href="http://www.oecd.org/countries/mozambique/35280349.pdf">http://www.oecd.org/countries/mozambique/35280349.pdf</a> Accessed 25 January 2017</p>
Effectiveness	<p>It is how well the output and outcome objectives of the department or programme are achieved and how well the outputs produce the desired outcomes. Effectiveness also has to do with</p> <p>alternative strategies to produce the same outcome – that is, which of the available alternative strategies will work best and cost less.</p>	<p>Public Service Commission. 2008. Basic Concepts in Monitoring and Evaluation. South Africa</p> <p><a href="http://www.psc.gov.za/documents/docs/guidelines/PSC%206%20in%20one.pdf">http://www.psc.gov.za/documents/docs/guidelines/PSC%206%20in%20one.pdf</a></p> <p>Accessed 10 February 2017</p>
Efficiency	It is the relationship between inputs and outputs, that is, to deliver more output for the same amount of input or the same output for a decreased amount of input.	<p>Public Service Commission. 2008. Basic Concepts in Monitoring and Evaluation. South Africa</p> <p><a href="http://www.psc.gov.za/documents/docs/guidelines/PSC%206%20in%20one.pdf">http://www.psc.gov.za/documents/docs/guidelines/PSC%206%20in%20one.pdf</a></p> <p>Accessed 10 February 2017</p>



