

THE AFRICAN PEER REVIEW MECHANISM

Lessons from the Pioneers

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The South African Institute of International Affairs
Jan Smuts House, Johannesburg

Revised edition published in February 2008 by
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ISBN No: 1-919969-60-8

Cover design by Limeblue

Printed by Lesedi Litho Printers, Pretoria

Appendices

It is time to use regional and international co-operation to enforce a policy of zero-tolerance of political corruption and to put an end to practices whereby politicians put themselves above the law.

– Akere Muna, President, Transparency International Cameroon Chapter

Transparent and enforceable corporate governance principles are essential for sustainable business environment in Africa. In fact the APRM will be greatly undermined without proper African corporate governance structures.

– Conference on corporate governance In Africa, Johannesburg 2005

All participating countries must be involved in the preparation of future questionnaire developments by receiving and passing on inputs for their comments.

– Ghanaian National APRM Governing Council

SUMMARY OF THE OFFICIAL GUIDANCE DOCUMENTS



It is important to note that the APRM system has evolved over time. Beginning with the APRM Protocol or so-called 'Base Document', several other official documents have been released at different times. They contain significant inconsistencies about how the process should be conducted, particularly regarding the requirements of public participation and the role and powers of the Focal Point and National Governing Council. Although new guidance documents have been issued over time, none has been officially repealed or withdrawn from the APRM website.

As the Secretariat and Panel of Eminent Persons have not issued a written clarification of the ambiguities, it is useful to note the sequence with which the different documents were published. The most recent document, the 'Supplement to the Country Guidelines' or 'Supplementary Guidelines', offers much more detailed discussion of the roles of the national APRM institutions and can be therefore interpreted to represent the most current rules. Civil society and governments should be aware that reading the Base Document and original guidelines without also consulting the later documents would result in a very different conception of the APRM rules. They should also note that the oral explanations offered by the Eminent Persons have varied considerably from country to country and this oral advice differs from the written rules (See also chapter 3, on the governance of the national process).

Please note that full versions of all the documents discussed below are contained on the APRM Toolkit CD-ROM that accompanies this book. Please note that the subheadings under each document below are provided to facilitate finding key topics, but they do not appear in the originals, with the exception of the Supplementary Guidelines and the Prerequisites for Country Support Missions, both of which are reproduced here in full.

APRM Protocol or Base Document¹

This document was enacted by the Organisation of African Unity (OAU) at its 2002 summit in Durban, South Africa.² It defines four types of reviews, the role and term of office of the Panel of Eminent Persons, and the five official stages of the process. It asserts that all reviews should begin within 18 months of accession to the APRM, and that each review should take no more than six months from inception to presentation of the Country Review Report to the heads of state. Pioneer countries have asserted that this timeline is highly unrealistic, with most countries taking more than a year just to produce a self-assessment. Additional delays occur because heads of state generally gather only twice a year. The description of the goal of the APRM and the level of quality expected should be borne in mind in planning any review:³

2. 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.
3. Every review exercise carried out under the authority of the Mechanism must be technically competent, credible and free of political manipulation. These stipulations together constitute the core guiding principles of the Mechanism.

Four types of review are defined in the Protocol as follows:⁴

- The first country review is the base review that is carried out within 18 months of a country becoming a member of the APRM process;
- Then there is a periodic review that takes place every two to four years;
- In addition to these, a member country can, for its own reasons, ask for a review that is not part of the periodically mandated reviews; and
- Early signs of impending political or economic crisis in a member country would also be sufficient cause for instituting a review. Such a review can be called for by participating Heads of State and Government in a spirit of helpfulness to the Government concerned.

APRM Organisation and Processes⁵

This document outlines the responsibilities of the different APRM institutions. It provides only a basic outline of the process and roles of the Heads of State

1. Organisation of African Unity (OAU), 'The New Partnership for Africa's Development – The African Peer Review Mechanism (APRM)', Durban, South Africa, 8 July 2002.
 2. The African Union came into force at the same summit. While the APRM is commonly referred to as a programme of the African Union, the protocol was officially released as an OAU document.
 3. OAU, *op. cit.*, p.2.
 4. *Ibid.*, paragraph 4.
 5. Nepad Heads of State and Government Implementation Committee, 'African Peer Review Mechanism Organisation and Processes', 9 March 2003.

Forum, Eminent Persons, Secretariat and Country Review Teams. Significant aspects of it differ from the Country Guidelines and Supplementary Guidelines (see below). This document vests the main powers for setting the rules and supervising reviews with the Panel of Eminent Persons, who 'exercise oversight of the APR process with a view to ensuring the independence, professionalism, and credibility of the process.'⁶

This document states that the Eminent Persons themselves are to serve a term of four years (five for the chair of the Panel) and must be:⁷

Africans who have distinguished themselves in careers that are relevant to the work of the APRM. Members of the Panel must be persons of high moral stature and demonstrated commitment to the ideals of Pan-Africanism. The composition of the Panel will also reflect broad regional balance, gender equity and cultural diversity.

Accession Memorandum of Understanding⁸

When a country accedes to peer review, it does so by signing this Memorandum of Understanding.⁹ This document commits the signatory government to ensure participation of all stakeholders in the development of the Programme of Action and to implement faithfully whatever recommendations are made to the country in the final report. In signing up to the APRM, the government agrees to:¹⁰

Ensure the participation of all stakeholders in the development of the national Programme of Action including trade unions, women, youth, civil society, private sector, rural communities and professional associations ... [Governments also agree to] take such steps as may be necessary for the implementation of the recommendations adopted at the completion of the review process within the specified time frame and integrate them into our respective national Programmes of Action.

Objectives, Standards, Criteria and Indicators (OSCI)¹¹

This document sets out the main areas of inquiry of a peer review. It provides the framework and objectives that the Nepad Secretariat and the APRM Secretariat later used to develop the APRM Self-Assessment Questionnaire. The Questionnaire notably cites different standards in some sections from

6. *Ibid.*, p.3.

7. *Ibid.*, p.4.

8. Nepad Heads of State and Government Implementing Committee, 'Memorandum of Understanding on the African Peer Review Mechanism', 9 March 2003.

9. Note: When the country is ready to proceed with the actual review, it hosts a Country Support Mission. During that mission, a second Memorandum of Understanding is negotiated, which includes the specific time frames and types of assistance the country is expected to afford to the Country Review Team.

10. Nepad Heads of State and Government Implementing Committee, 'Memorandum of Understanding on the African Peer Review Mechanism', 9 March 2003, p.5.

11. Nepad Heads of State and Government Implementation Committee, 'Objectives, Standards, Criteria and Indicators for the APRM', NEPAD/HSGIC/03-2003/APRM/Guideline/OSCI, 9 March 2003.

those listed in the OSCI, and it also expands upon the criteria and indicators offered in the OSCI. In a few cases, the standards cited by the OSCI were incorrectly named. Because the Questionnaire came later, and was developed after significant consultation, it should therefore be considered the more authoritative reference. Some key passages include the following:

*Goal of the APRM*¹²

- 1.3 The overarching goal of the APRM is for all participating countries to accelerate their progress towards adopting and implementing the priorities and programme of the New Partnership for Africa's Development (NEPAD), achieving the mutually agreed objectives and compliance with best practice in respect of each of the areas of good governance and development. This can only be achieved through the sustained efforts of the country itself, involving all stakeholders. It requires that each country develops a Programme of Action with time bound objectives and linked to national budgets to guide all stakeholders in the actions required by all – government, private sector, civil society – to achieve the country's vision.

*Purpose of first review*¹³

- 6.3 The first cycle of the Peer Review process will enable participating countries to determine their initial baseline conditions, which will then become the baselines for the continental exercise, based on a careful review of each country's assessment of its own situation and its time-bound Programme of Action for improving its governance and socio-economic development performance.

*Programme of Action*¹⁴

- 6.4 The intention is that the first APR report for a country will provide a basis for assisting the country in improving its Programme of Action and for strengthening its capacities to accelerate progress towards its vision of excellence in performance in the areas being reviewed. It is hoped that the report will also provide a basis for consolidating shared values and standards in these governance areas and accelerating socio-economic development in Africa, leading to more rapid poverty eradication and achievement of objectives of Nepad and Millennium Development Goals.
- 6.5 It is expected that country efforts will be enhanced and strengthened by the APR process and that, after the first review, countries will sustain their efforts to achieve the shared objectives identified in the APRM and their Programmes of Action. This will require updating these Programmes of Action on a regular basis on the basis of self-monitoring results of their own progress and lessons learned from sharing with other countries, which will be facilitated actively by the APRM. On the basis of these activities it is anticipated that they will be able to establish new benchmarks and targets each year in terms of such concepts as outlined here. Subsequent peer reviews will monitor progress against

12. *Ibid.*, p.2.

13. *Ibid.*, p.30.

14. *Ibid.*, pp.30-31.

these benchmarks as defined in the countries' evolving programmes of action. If this happens, the APRM will have served its intended purpose.

Guidelines for Countries to Prepare for and to Participate in the African Peer Review Mechanism¹⁵

Hereafter referred to as the 'Country Guidelines', this text expands on the above documents with more specific advice on processes and the inclusion of civil society. However, it does not address some of the most important and controversial aspects of civil society participation and governance of the national process. It therefore must be read together with the Supplementary Guidelines document.

Participants should be aware of the contradictions that exist with other guidance documents. Paragraphs 12–13 and 35–37 of the Country Guidelines reinforce the idea of the central role that civil society must play in the APRM. Paragraph 34 is key to defining the Focal Point. It discusses the need for participation, but describes the Focal Point as an individual at ministerial level. However, this conception of Focal Point as minister is in conflict with the references in the Questionnaire and APR Questionnaire General Guidance. The Questionnaire puts the emphasis on the Focal Point as a committee by noting that 'prior to receiving the Questionnaire each country would have established a national Focal Point comprised of [*sic*] representatives of all stakeholders.'¹⁶

But the APR Questionnaire General Guidance posits the Focal Point as the chief decision maker:¹⁷

The Technical Committee of the APR Focal Point would then collate the responses [to the completed Self-Assessment Questionnaires] and compile a consensus response to submit to the APR Focal Point for consideration.

The Eminent Persons and Supplementary Guidelines assert that the decision-making powers about the process vest with a committee that should have a civil society leader and majority, with the Focal Point holding an administrative function to liaise with government (see chapter 3). The following are the key passages of the Country Guidelines.

Obligation to integrate the APRM with other national processes¹⁸

12. National ownership and leadership by the participating country are essential factors underpinning the effectiveness of such a process. This includes leadership in ensuring consistency with existing national

15. APRM Secretariat, 'Guidelines for countries to prepare for and to participate in the African Peer Review Mechanism', November 2003.

16. APRM Secretariat, 'Country Self-Assessment for the African Peer Review Mechanism' otherwise known as the Questionnaire, Midrand, South Africa, undated [2004], p.9.

17. APRM Secretariat, 'APR Questionnaire General Guidance,' Midrand, South Africa, undated [2004], p.4.

18. APRM Secretariat, 'Country Guidelines', p.2.

efforts, like the Poverty Reduction Strategy Papers (PRSP) processes, other national poverty reduction strategies, Medium Term Expenditure Framework (MTEF), National Human Rights Action Plans, Millennium Development Goals (MDG) strategies, ongoing institutional reforms, and other relevant governance and socio-economic development strategies, programmes and projects. It also includes efforts by the participating country to address capacity constraints in an integrated manner within all of these activities, as well as facilitating and co-ordinating the alignment of international support behind the national Programme of Action that participating countries are expected to develop and implement.

Participatory requirements¹⁹

13. The APRM process is designed to be open and participatory. Through a participatory process, the APRM will engage key stakeholders to facilitate exchange of information and national dialogue on good governance and socio-economic development programmes, thereby increase the transparency of the decision-making processes, and build trust in the pursuit of national development goals.

The Programme of Action²⁰

32. The primary purpose of the National Programme of Action is to guide and mobilise the country's efforts in implementing the necessary changes to improve its state of governance and socio-economic development. In addition, the National Programme of Action is the key input delivered by the country into the peer review, and it, therefore, serves to present and clarify the country's priorities; the activities undertaken to prepare and participate in the APRM; the nature of the national consultations; as well as explicitly explain the responsibilities of various stakeholders in government, civil society and the private sector in implementing the Programme.
33. As such, the National Programme of Action should include the following:
 - a. Assessment of compliance with the APRM Objectives, Standards, Criteria, and Indicators, and a discussion of major development and governance challenges facing the country.
 - b. Outline of the priorities for enhancing governance and socioeconomic development in the short, medium and long term.
 - c. Description of ongoing efforts by the country in this regard, like PRSPs or other poverty reduction programmes, MDG strategies, Human Rights Action Plans, institutional reforms, and other development strategies.
 - d. Clear, time-bound commitments on key governance and socio-economic development priorities over the next three years, including the identification of key stakeholders for implementation, and the estimated budgetary implications and allocations.

19. *Ibid.*, p.3.

20. *Ibid.*, pp.10-11.

- e. Description of the national consultations that have taken place doing the self-assessment and developing the National Programme of Action
- f. Outline the feedback mechanism established to keep local stakeholders involved in the process, including efforts to disseminate information in an easily accessible and understandable manner.
- g. Description of the capacity building and resource mobilisation requirements for undertaking the Programme of Action.
- h. Outline the implementation, monitoring and evaluation mechanisms for the Programme of Action.

Focal Point as individual²¹

- 34. It is the responsibility of the participating country to organise a participatory and transparent national process. In so doing, 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 co-ordinated with existing policy-decision and medium-term planning processes.

Process requirements²²

- 35. Further to the above listed responsibilities, it is recommended that the participating countries:
 - a. Define, in collaboration with key stakeholders, a roadmap on participation in the APRM, which should be widely publicised and provide information about the national co-ordinating structures, the stages of the APRM and the roles and responsibilities of stakeholders from government, non-governmental organisations, private sector and international development partners.
 - b. Establish and publicise feedback mechanism between different levels of government and with non-governmental stakeholders.
 - c. Ensure participation by relevant stakeholders in the implementation of the Programme of Action.
 - d. Make annual progress reports to the APR Secretariat on the implementation of the Programme of Action.

Participation and trust-building required²³

- 36. The organisation of public participation in the APRM process is in itself a central aspect of enhancing the state of governance and socio-economic development in the participating country. Such interactions can build trust, establish and clarify mechanisms for ongoing engagement and empowerment of stakeholders. These processes will be most effective if they build on existing structures, rather than duplicating or creating

21. *Ibid.*, p.11.

22. *Ibid.*, pp.11–12.

23. *Ibid.*, p.12.

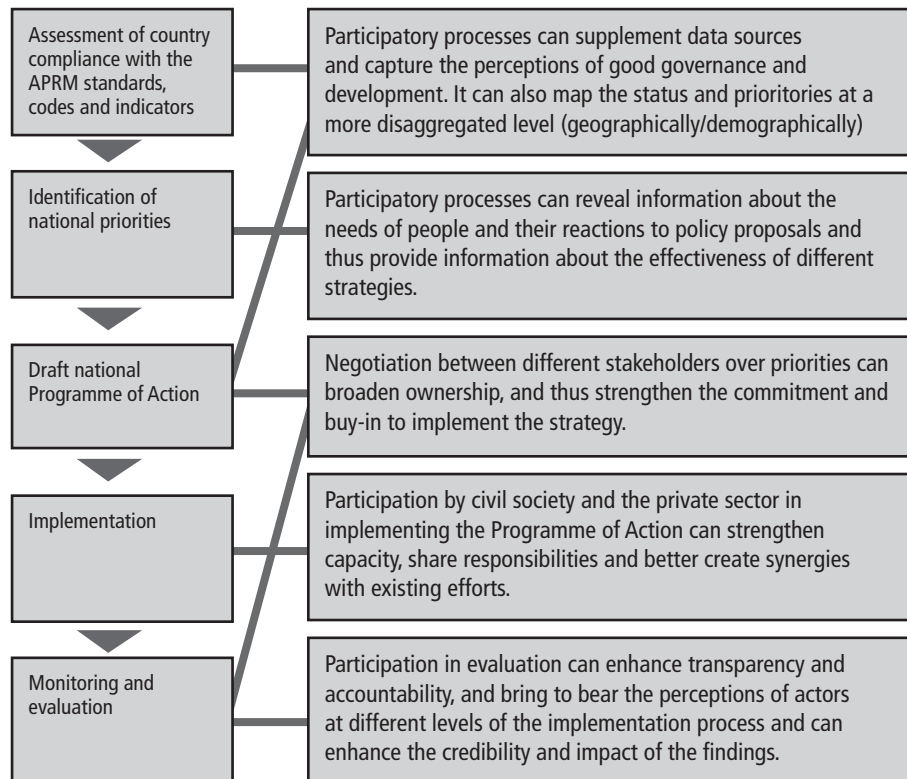
parallel processes such that learning becomes cumulative. Figure 2 outlines the potential benefits of public participation in the various stages of the APRM.

37. Existing national oversight institutions should be an integral part of the national preparation for and participation in the APRM, especially those oversight institutions whose constitutional functions cover the four identified areas of governance and development; for example, the Auditor-General, the Public Accounts Committees of Parliament and the Human Rights Commission. These institutions will be useful in helping to identify key areas of concern, ensuring the technical competence and integrity of the review process, as well as in drawing up and implementing the national Programme of Action.

Participation in the APRM

The APRM process:

How Participatory processes can help



The chart above appears in the Country Guidelines to explain the value attached to civil society participation in the APRM.²⁴

24. *Ibid.*, p. 14.

Country Self-Assessment Questionnaire²⁵

This document offers guidance on the kinds of factors to be considered in conducting a governance analysis. It includes 25 objectives, 58 questions and 183 indicators, as well as questions inquiring about the ratification and implementation of the various APRM standards. The objectives are broad and in some places contain several different ideas. The questions are meant to focus on particular facets of governance under the broad objectives. The indicators give further detail on the factors to consider. At 88 pages, the Questionnaire expanded significantly on the OSCI, including more standards, criteria and indicators. Thus the Questionnaire can be seen as superseding the OSCI. The Questionnaire is divided into four thematic areas: democracy and good political governance; economic governance and management; corporate governance; and socio-economic development.

Each thematic area is introduced with useful explanatory material on the factors to consider in evaluating governance in that area. There also is some guidance on the overall conduct of the APRM. The Questionnaire mentions eight so-called cross-cutting issues: poverty eradication, gender balance, decentralisation, country capacities to participate in the APRM, access to and dissemination of information, corruption, broad-based participation, and sustainability in both financial and environmental senses. The Questionnaire notes that it does not include specific questions on each cross-cutting area in each objective, but it encourages countries to sensitise participants about them and include relevant analysis. (Please note that the headings below are to assist the reader but do not appear in the Questionnaire itself.)

Purpose and participation²⁶

The Questionnaire is also intended to promote national dialogue on development issues and to facilitate the evaluation of countries on the basis of the realities expressed by all stakeholders. It is therefore important that there be broad-based representation at the national structure co-ordinating the APR process as well as wide dissemination of the Questionnaire and active participation of all stakeholders in providing responses to the Questionnaire.

Broad participation led by government²⁷

- 1.1.4 The overarching goal of the APRM is for all participating countries to accelerate their progress towards adopting and implementing the priorities and programmes of the New Partnership for Africa's Development (Nepad), achieving the mutually agreed objectives and compliance with best practice in respect of each of the areas of governance and development. This can only be achieved through the sustained efforts of the country itself, involving all stakeholders. It

25. APRM Secretariat, 'Country Self-Assessment for the African Peer Review Mechanism', Midrand, South Africa, undated [2004].

26. Savané M-A, cover letter in *ibid.*, p.5.

27. APRM Secretariat, 'Country Self-Assessment Questionnaire', p.6.

requires that each country carefully assess its own situation through a broad participatory process led by the government that results in a Programme of Action with time bound objectives to guide all stakeholders in the actions required by government, private sector and civil society to achieve the country's vision.

Five stages of APRM²⁸

1.2.1. The APR process will be conducted under the leadership of the APR Panel and the technical support of the APR Secretariat. It consists of five stages that are defined in the APRM Base Document and discussed in detail in the Guidelines for Countries to Prepare for and to Participate in the APRM.

Stage One is the preparatory process both at the level of the APR Secretariat and the national level. During this stage, the APR Secretariat will send a Questionnaire to all participating countries on the basis of the mutually agreed Objectives Standards, Criteria and Indicators. The country will develop a self assessment on the basis of the Questionnaire. The country is also expected to formulate a Preliminary programme of action based on existing policies, programmes and projects. Upon receiving the self assessment and the preliminary programme of action, the APR Secretariat which during this time has developed a Background document on the country, through research and gathering information relevant to the country will prepare an Issue paper that will guide the country in the review process. If on the basis of all available data the APR Secretariat determines that the issues require further in-depth assessment analysis, it will make arrangements for a competent partner institution to conduct the assessment. Upon completion of the technical assessment, the assessment report is sent to the APR Secretariat and the APR Panel.

Stage Two marks the visit of the APR Team to the country concerned with a view to holding extensive consultations with all stakeholders.

Stage Three is the drafting of the report by the APR Team. The report is prepared on the basis of the Background document and the Issue Paper prepared by the APR Secretariat, and the information provided in the country during the extensive consultations held with stakeholders.

In **Stage Four**, the APR Team's report is submitted to the APR Secretariat and APR Panel. After deliberation by the APR Panel, the report is then submitted to the APR Forum for consideration and formulation of actions deemed necessary in accordance with the mandate of the APR Forum.

Stage Five is the final stage of the APR Process. It involves making public the report and related actions. Six months after consideration of the report by the APR Forum, the report will be formally and publicly tabled in key regional and sub-regional structures.

28. *Ibid.*, p.7.

Focal Point as a committee²⁹

2.1.1. It is hoped that prior to receiving the Questionnaire each country would have established a national Focal Point comprised of representatives of all stakeholders to co-ordinate the APRM process.

Using the Questionnaire³⁰

2.1.2. It is expected that the APR Focal Point in each participating country will draw up a list of the stakeholders (government, private sector, civil society) that would participate in responding to the Questionnaire. It would then distribute the entire Questionnaire to all stakeholders through their representatives in the Focal Point. The APR Focal Point would also provide the APR Secretariat with a list of all the recipients of the Questionnaire.

2.1.4 The stakeholders would be given a time frame within which to complete and return the Questionnaires along with an overall report on their assessment and available documentation to the national APR Focal point.

2.1.5. The APR Focal Point would then collate the responses, and consult with stakeholders to build a consensus response. It would also use the responses and the available assessment reports to compile the country's Self-Assessment Report, based on the Questionnaire responses and other research. It would ensure that there are detailed references to the sections of the Self-assessment Report in which a question is answered and the indicators are defined more fully.

The APR Questionnaire General Guidelines³¹

This document uses language identical to the Questionnaire itself to describe the process, stages and public participation aspects. As noted earlier, these General Guidelines posit the Focal Point as the chief decision-maker and make reference to the Focal Point as having a 'Technical Committee' that is mentioned nowhere else in the rules:³²

The Technical Committee of the APR Focal Point would then collate the responses [to the completed Questionnaires] and compile a consensus response to submit to the APR Focal Point for consideration.

Given that this description is directly contradictory to the later Supplementary Guidelines as well as the many references to the process being independent and autonomous from government, it is suggested that the APR Questionnaire General Guidelines be rescinded.

29. *Ibid.*, p.9.

30. *Ibid.*

31. This document, available on the official APRM website, does not include any date of publication or release. However, the computer properties of the Adobe Acrobat file say that it was created on 30 March 2006.

32. APRM Secretariat, 'APR Questionnaire General Guidance,' Midrand, South Africa, undated [2004], p.4.

Prerequisites for Country Support Missions³³

This one-page document lists the preparations a country is supposed to have made before receiving its Country Support Mission. This document has not been posted on the official APRM website as of November 2007 but it was distributed to a training workshop for Focal Points, by SAIIA, UNECA and the Secretariat in February 2007. The Secretariat said the document is given to countries as they prepare for the process.

Notably, it asserts that before a Country Support Mission is fielded, countries should have already established a National Governing Council and Secretariat; chosen Technical Research Institutes, conducted public sensitisation and established a 'road map of activities' to be included in the research plan, which has been publicly debated.

This appears to be a sharp change in policy from the Country Guidelines document. The latter describes the Country Support Mission as designed to provide governments and civil society with information on the process, but the Prerequisites document assumes that countries already know the rules and have set the whole process in motion, with budgets and research plans. As noted in earlier chapters, the very limited support offered by the Secretariat has become a common refrain from participating countries, particularly as the system has been unable to accelerate the speed of reviews.³⁴ Many countries note that the Secretariat and Eminent Persons arrive at the Country Support Mission expecting the country to have established its structures, but the countries complain that they cannot because they lack information on the requirements. In particular, countries note that the official documents do not discuss how public consultation and research should be conducted or what the costs have been in early countries. This lack of guidance has contributed to significant delays. The lack of information and consistency of rules also has contributed to countries setting up structures contrary to the rules. Once publicly committed to a path, they can be reluctant to change because modifying the announced system would involve acknowledging a wrong decision.

The following is the full text of the Prerequisites document:

Prerequisites for Country Support Mission

The following are the prerequisites that should be put in place by the country prior to receiving the Support Mission.

33. This document is not dated and has not been released on the official APRM website as of this writing but was distributed by the APRM Secretariat at a the workshop 'APRM Best Practices and Lessons Learned: Exploring the Process and National Experiences,' which was conducted for Focal Points staged by SAIIA, the UN Economic Commission for Africa and the Secretariat in Addis Ababa, Ethiopia, 20–21 February 2007.

34. Ghana, the first country to begin the process, started public consultations in late 2003. Since then reviews have been completed for Ghana, Rwanda, Kenya, South Africa and Algeria, by July 2007. At the pace of five reviews in three and a half years, it will be 2021 before all signatory countries complete their first review.

- a. **National Commission:** A national commission to manage the APR process at national level should be established. This commission should be autonomous from government and inclusive of all key stakeholders (state and non-state actors).
- b. **National APR Secretariat:** Provision should be made for a Secretariat to assist the national commission. This Secretariat should have appropriate staffing, equipment and budget to facilitate its effectiveness.
- c. **Technical Research Institutions:** The commission also needs access to research institutions to lead the self-assessment process in the four focus areas of the APRM. It should be noted that the support mission team includes experts from strategic partner institutions for all the four thematic areas of the APRM. These would be ready to engage with stakeholders on the technical issues relating to the self-assessment particularly with respect to the Questionnaire. This means that the Technical Research Institutions should have internalised the Questionnaire and identified the criteria for reaching key stakeholders for effective engagement.
- d. **Sensitisation of stakeholders** should also be at an advanced stage prior to receiving the support mission as a prerequisite to creating national ownership.
- e. **Timeline for implementation of the APRM at national level.** A road map of activities to be undertaken at national level from the Country Support Mission to the review period should be communicated to the Secretariat for guidance. This road map will also be discussed during the support mission.
- f. **Funding:** Indication as to the Budget and source of funding for the entire national APRM activities should be given.
- g. **The MOU on Technical Assessment Missions and the Country Review Visit:** This document will be forwarded to your country prior to the Support Mission. All issues arising there from needed to be brought to the attention of the Secretariat for resolution as this MOU would be signed at the beginning of the support mission.
- h. **The Programme for the support mission:** A programme outlining the activities to be undertaken during the support mission should be proposed. This usually includes a national workshop or open forum with key stakeholders, interactions with specific stakeholders groups e.g. civil society, the private sector, parliamentarians etc; Technical discussions with the Thematic [*sic*] Research Institutions; Courtesy calls on high level dignitaries in the country including the President.

Supplementary Document to APRM Guidelines for Country Review – The APRM National Structure³⁵

This document, otherwise referred to in this book as the ‘Supplementary Guidelines’, contains significantly greater detail on the role of the Focal Point, Governing Council, stakeholder participation and Technical Research Institutions. It offers the most extensive discussion of questions of participation and need for independence of the national institutions from government. Because it is the most comprehensive, detailed and recent guidance, its full text is included below:

I. Introduction

The organisation of an inclusive national structure to implement the APRM is highly crucial to the success of the APRM process. The participation of diverse key stakeholders in the APRM is in itself a central aspect of enhancing the state of governance and socio-economic development in the participating country. Such interactions can build trust, establish and clarify mechanisms for ongoing empowerment of stakeholders.

The Guidelines for Countries to Prepare for and to Participate in the APRM (Country Guidelines) call for countries to put in place relevant structures to facilitate the effective implementation of the APRM. From the countries reviewed so far, the practice has been to designate the following:

- a) a National APRM Focal Point
- b) a National Commission
- c) an APRM Secretariat, and
- d) Technical Research Institutions

II. The National Focal Point

The Country Guidelines recommend that the Focal Point for the APRM ideally should be established at a Ministerial level, or a high level government official that reports directly to the Head of State or Government. The practice has been divergent in many countries [*sic*] some appoint Ministry of Foreign Affairs as this is the Ministry that traditionally handled the Trade Regional Integration and by extension Nepad/APRM issues. Others appoint officials in the Presidency as the APRM is a key initiative and commitment by the Head of State or Government. For some it is the Ministry of Finance, Planning, Public Service or other ministry concerned with social and developmental issues. However, it is critical that the work of the APRM Focal Point is inclusive, integrated and co-ordinated with existing policy-decision and medium-term planning processes.

III. National Commission/Governing Council

This is the body that provides strategic policy direction to the implementation of the APRM. This body must contain upstanding citizens who command

35. This document is not dated and has not been released on the official APRM website as of this writing but was distributed by the APRM Secretariat at the workshop ‘APRM Best Practices and Lessons Learned: Exploring the Process and National Experiences,’ which was conducted for Focal Points staged by SALLA, the UN Economic Commission for Africa and the Secretariat in Addis Ababa, Ethiopia, 20–21 February 2007.

the respect of the general public. The Country Guidelines provide that the National Commission established to manage the process at national level should be autonomous from government and inclusive of all key stakeholders. In this context, membership must be diverse and representative to ensure to the spirit [*sic*] of the APRM – broad-based participation.

Composition of the National Structure. Both state and non-state actors participate in the process. This includes some representatives of key line ministries, civil society, parliament, media, private sector, youth, women groups, disabled, marginalised groups, rural populations, etc. The National Commission should offer a microsm [*sic*] of the nation. Where possible, it should be chaired by a non-state functionary. If the commission is too small [*sic*], it may bring perceptions of non-inclusivity. If too large, it may make decision-making cumbersome and would be encouraged to appoint an executive council from itself.

Responsibilities of the National Structure. In addition to providing guidance in terms of policy direction, the Commission/Council is expected to ensure professionalism, credibility and independence of the process. The NC/NGC is also to ensure that the process is technical and free from political manipulation. The NC/NGC is supposed to lead the sensitisation programmes country-wide and ensure that all stakeholders participate in the process so as to create ownership.

The NGC must have clear written terms of reference for operation. Other issues that need to be worked out include: legal status of the same (gazettement, inauguration, etc.), terms of service (honoraria etc.) and duration of appointment. It is recommended that the NGC be involved in follow up of implementation of POA. With regards to the POA, the NGC must ensure that all the concerns outlined in the self-assessment report are addressed in the POA. The NGC must also ensure that the POA meets all the criteria identified in the guidelines (i.e. costing, time frames, outputs, etc.).

IV. *National APRM Secretariat*

The National APRM Secretariat provides technical and administrative support to the National Commission/Governing Council. They assist the NC/NGC in organising sensitisation programmes at the national and local levels. The Secretariat (which should have ideally a CEO or Executive Director) will also be responsible for liaising between the NC/NGC and the continental APRM Secretariat in South Africa. The Secretariat should also facilitate and support and [*sic*] the work of the Technical Research Institutions.

V. *Technical Research Institutions*

These are the institutions that assume the responsibility of executing the APRM Questionnaire. They should be well-known for their competence and technical capabilities to conduct sound and objective research in the four APRM thematic areas. The TRIs will be collating data, analysing and presenting the views of the general population. The research methodology should therefore rely on multi-method approach [*sic*] (qualitative and quantitative) to ensure comprehensive data collection. The final output

should undergo validation to ensure that the report is representative of the public views.

The TRIs are appointed by the NGC and report directly to it. A contractual agreement protecting the intellectual property of the self-assessment should be signed. The NGC has to protect the confidentiality of the self-assessment process so as not to prejudice or pre-empt the ensuing stages of deliberation of the report by the Panel and Forum.

VI. Budgetary Framework

It is advisable for the country to see to it that budget for the APRM is independently managed in order to promote sustainability. The country should also endeavour to keep the budget at a minimum and link the disbursement of funds to outputs and activities so as to control the level of spending. Prudent financial planning in the early stages by the NGC to cover all the activities from inception to completion and periodic accounting of expenses is highly critical to the success of the APRM process.

THE APRM STANDARDS BY OBJECTIVE



The African Peer Review Mechanism (APRM) cites a variety of standards, codes and declarations that are the criteria against which governance in African can be measured. This appendix was assembled to assist APRM participants in finding the relevant international standards that relate to particular APRM objectives. The full text of the standards can be found in the APRM Toolkit CD-ROM included with this volume. They are also available in *The APRM Governance Standards: An Indexed Collection*, which was produced by SAIIA in French and English in printed and electronic form (see www.saiia.org.za to order or download).

The standards embraced by the APRM are contained in two of the official APRM documents: the Objectives, Standards, Criteria and Indicators (OSCI) and the Self-Assessment Questionnaire and the list below includes all the standards cited in both.¹ However, the allocation of standards to particular objectives in this appendix is based on SAIIA's analysis of the standards themselves, and not only the allocations in the OSCI and Questionnaire.

The APRM Questionnaire allocates standards to particular objectives only in the democracy and political governance section (or thematic area). The other three thematic sections of the Questionnaire only list the standards that apply to the entire theme. Readers should note that the OSCI and Questionnaire do not fully agree with each other. In some cases, standards are listed in one document but not the other. In other cases, the Questionnaire cites a standard as applying only to one theme, but the text of that standard makes clear that it also applies elsewhere. This list attempts to match standards to all of the objectives to which they could reasonably apply and thus goes beyond the notations in the Questionnaire.

In two cases, the African Union has adopted declarations since the creation of the APRM –related to gender and elections – which are included here because

1. The one exception is the 'African Platform on the Right to Education (1999)'. It is cited in the Questionnaire but the authors were unable to find this document through the African Union or United Nations.

such standards presumably apply to all APRM members.² In a few cases, footnotes indicate where names of standards or the issuing organisation was not clear in the OSCI or Questionnaire. For example, the Financial Action Task Force issues standards on money laundering. It issued an addendum relating to terrorist financing that was not named by the APRM but it is included here because it would appear to be a part of the main set of anti-money laundering standards.

In some cases, certain areas of governance in the Questionnaire are logically related. For example, the rules for effective fiscal management are thematically related to the rules that are necessary for an effective anti-corruption system. In such cases, readers may want to look at the standards listed under related topics.

The exact number of standards cited by the APRM is difficult to establish. The OSCI and Questionnaire cite 'regional codes and standards' without specifying which ones (and these would vary according to region of the continent). In the corporate governance and socio-economic development sections, they cite the codes of the International Labour Organisation and World Health Organisation, respectively, without specifying which of the many codes from those organisations apply. This list includes the eight standards that the ILO considers to be 'fundamental.' This list includes only one entry for World Health Organisation codes.

The Questionnaire notes that the following five documents should be seen as standards applying to all sections of the APRM: (in chronological order)

- The UN Charter of the United Nations (1945)
- The UN Universal Declaration of Human Rights (1948)
- The AU Constitutive Act of the African Union (2000)
- AU New Partnership for Africa's Development – Framework Document (2001)
- AU Declaration on Democracy, political, Economic and Corporate Governance (2003)

In the sections below, the standards are arranged alphabetically by issuing agency under each objective. Abbreviations and acronyms are defined at the beginning of the book.

2. The Solemn Declaration on Gender Equality in Africa (2004) and The African Charter on Democracy, Elections and Governance (2007) were adopted by the African Union after the APRM was established, in 2002, but are both directly relevant to the APRM and thus are included.

Democracy and political governance

Objective one: Prevention and reduction of intra- and inter-state conflicts

- AU – Protocol Relating to the Establishment of a Peace and Security Council of the AU (2002)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa (CSSDCA) – Solemn Declaration (2000)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa (CSSDCA) – Memorandum of Understanding (2002)
- OAU – Declaration and Plan of Action on Drug Control Abuse and Illicit Drug Trafficking in Africa (1996)
- OAU – Declaration on the Establishment, within the OAU, of the Mechanism for Conflict Prevention, Management and Resolution (1993)
- UN – Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities (1992)
- UN – Geneva Convention Relative to the Protection of Civilian Persons in Time of War (1949)
- UN – Optional Protocol to the Convention on the Rights of the Child on the Involvement of Children in Armed Conflict (2000)
- UN – Security Council Resolution 1325 on Women in Conflict (2000)

Objective two: Constitutional democracy, including periodic political competition and opportunity for choice, the rule of law, citizen rights and supremacy of the Constitution

- AU – African Charter on Democracy, Elections and Governance (2007)
- ILO – Freedom of Association and Protection of the Right to Organise Convention (1948)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa (CSSDCA) – Solemn Declaration (2000)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa (CSSDCA) – Memorandum of Understanding (2002)
- OAU – Declaration on Principles Governing Democratic Elections in Africa (2002)
- OAU – Declaration on the Framework for an OAU Response to Unconstitutional Changes of Government (2000)
- OAU – Grand Bay (Mauritius) Declaration and Plan of Action for the Promotion and Protection of Human Rights (1999)
- OAU – The African Charter on Human and People's Rights (1981)
- UN – The International Covenant on Civil and Political Rights – Optional Protocol [empowering UN High Commissioner for Human Rights to receive and act on evidence of human rights abuse from individuals] (1976)

- UN – The International Covenant on Civil and Political Rights (1966)
- UNESCO – Declaration on Fundamental Principles Concerning the Contribution of the Mass Media to Strengthening Peace and International Understanding, to the Promotion of Human Rights and to Countering Racism, Apartheid and Incitement to War (1978)

Note: The principles of democratic governance are closely tied to the respect for human rights. See also the standards listed under objective three below.

Objective three: Promotion and protection of economic, social and cultural rights, civil and political rights as enshrined in African and international human rights instruments

- AU – African Charter on Democracy, Elections and Governance (2007)
- OAU – African Charter on Human and People's Rights (1981)
- OAU – Declaration on the Framework for an OAU Response to Unconstitutional Changes of Government (2000)
- OAU – Grand Bay (Mauritius) Declaration and Plan of Action for the Promotion and Protection of Human Rights (1999)
- UN – Convention Against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1975)
- UN – Convention Against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment – Optional Protocol establishing Subcommittee on Prevention and Investigation (adopted 2002, entered into force 2006)
- UN – Convention for the Suppression of the Traffic in Persons and of the Exploitation of the Prostitution of Others (1949)
- UN – Declaration on Basic Principles of Justice for Victims of Crime and Abuse of Power (1985)
- UN – Declaration on the Elimination of All Forms of Intolerance and of Discrimination based on Religion and Belief (1981)
- UN – Declaration on the Protection of All Persons from being Subjected to Torture and other Cruel, Inhuman or Degrading Treatment or Punishment (1975)
- UN – Convention Against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment (1984)
- UN – Declaration on the Right and Responsibility of Individuals, Groups and Organs of Society to Promote and Protect Universally Recognised Human Rights and Fundamental Freedoms (1998)
- UN – Declaration on the Right to Development (1986)
- UN – Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities (1992)
- UN – Geneva Convention Relative to the Protection of Civilian Persons in Time of War (1949)

- UN – International Convention on the Elimination of All Forms of Racial Discrimination (1965)
- UN – International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (adopted 1990, entered into force 2003)³
- UN – International Covenant on Civil and Political Rights – Optional Protocol [empowering UN High Commissioner for Human Rights to receive and act on evidence of human rights abuse from individuals] (1976)
- UN – International Covenant on Civil and Political Rights (1966)
- UN – International Covenant on Economic, Social and Cultural Rights (1966)
- UNESCO – Declaration on Fundamental Principles Concerning the Contribution of the Mass Media to Strengthening Peace and International Understanding, to the Promotion of Human Rights and to Countering Racism, Apartheid and Incitement to War (1978)

Note: Please also see the eight ‘fundamental’ labour rights from the International Labour Organisation in the corporate governance section below.

Objective four: Uphold the separation of powers, including the protection of the independence of the judiciary and of an effective legislature

- AU – African Charter on Democracy, Elections and Governance (2007)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa (CSSDCA) – Solemn Declaration (2000)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa (CSSDCA) – Memorandum of Understanding (2002)
- OAU – Declaration on the Framework for an OAU Response to Unconstitutional Changes of Government (2000)

Objective five: Ensure accountable, efficient and effective public office holders and civil servants

- AU – The AU Convention on Preventing and Combating Corruption (2003)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa (CSSDCA) – Solemn Declaration (2000)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa (CSSDCA) – Memorandum of Understanding (2002)

3. The Questionnaire refers to the ‘International Convention on the Protection of the Rights of All Migrant Workers and Members of their Families’ (democracy and political governance section, relevant to objectives 3 and 9) and the ‘Convention on Protection of Rights of Migrant Workers,’ (democracy and political governance, relevant to objective 3). It is assumed that they refer to the same standard, the International Convention on the Protection of the Rights of All Migrant Workers and Members of their Families by the United Nations.

- OECD – Conventions on Combating Bribery of Foreign Public Officials in International Business Transactions (1997)

Objective six: Fighting corruption in the political sphere

- AU – The AU Convention on Preventing and Combating Corruption (2002)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa (CSSDCA) – Solemn Declaration (2000)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa (CSSDCA) – Memorandum of Understanding (2002)
- OECD – Conventions on Combating Bribery of Foreign Public Officials in International Business Transactions (1997)

Objective seven: Promotion and protection of the rights of women

- AU – Protocol to the African Charter on Human and People's Rights on the Rights of Women in Africa (2003)
- AU – Solemn Declaration on Gender Equality in Africa (2004)
- OAU – The African Charter on Human and People's Rights (1981)
- UN – Convention for the Suppression of the Traffic in Persons and of the Exploitation of the Prostitution of Others (1949)
- UN – Convention on the Elimination of All Forms of Discrimination against Women (1979)
- UN – Convention on the Political Rights of Women (1952)
- UN – Declaration on the Elimination of Violence against Women (1993)
- UN – Fourth World Conference on Women, Beijing Declaration and Programme of Action (1995)

Objective eight: Promotion and protection of the rights of children and young persons

- OAU – African Charter on the Rights and Welfare of the Child (1990)
- OAU – The African Charter on Human and People's Rights (1981)
- UN – Convention for the Suppression of the Traffic in Persons and of the Exploitation of the Prostitution of Others (1949)
- UN – Convention on the Rights of the Child (1989)
- UN – Declaration on Social and Legal Principles Relating to the Protection and Welfare of Children, with Special Reference to Foster Placement and Adoption Nationally and Internationally (1986)
- UN – Optional Protocol to the Convention on the Rights of the Child on the Involvement of Children in Armed Conflict (2000)
- UN – Optional Protocol to the Convention on the Rights of the Child on the Sale of Children, Child Prostitution and Child Pornography (2000)

Objective nine: Promotion and protection of the rights of vulnerable groups including internally displaced persons and refugees

- OAU – Convention Governing Specific Aspects of Refugee Problems in Africa (1969)
- OAU – The African Charter on Human and People’s Rights (1981)
- UN – Convention Relating to the Status of Refugees (1951)
- UN – Declaration on the Rights of Disabled Persons (1975)
- UN – International Convention on the Protection of the Rights of All Migrant Workers and Members of their Families (1990)
- UN – Protocol Relating to the Status of Refugees (1967 entry into force)

Economic governance and management

Objective one: Promote macroeconomic policies that support sustainable development

- IMF and World Bank – Guidelines for Public Debt Management (2001)
- UN – Report of the World Summit for Social Development (1995)
- UN – World Summit on Sustainable Development, Johannesburg Declaration on Sustainable Development (2002)

Objective two: Implement sound, transparent and predictable government economic policies

- IMF – Code of Good Practices on Transparency in Monetary and Financial Policies: Declaration of Principles (1999)
- IMF – Revised Code of Good Practices on Fiscal Transparency (1998)
- IMF and World Bank – Guidelines for Public Debt Management (2001)
- International Accounting Standards Board – International Accounting Standards⁴
- International Federation of Accountants – International Standards in Auditing: The Handbook of International Auditing, Assurance, and Ethics Pronouncements (2006 edition)
- OECD – Best Practices for Budget Transparency (2001)

Objective three: Promote sound public finance management

- Bank for International Settlements – Core Principles for Systemically Important Payment Systems (2001), Committee on Payment and Settlement Systems
- Cadbury Commission – Report of the Committee on the Financial Aspects of Corporate Governance - Cadbury Report (1992)⁵

4. Both the OSCI and Questionnaire refer to International Accounting Standards, but do not specify the source of these. The International Accounting Standards Board produces such standards and has therefore been referenced here. They are updated continuously so do not have a single year of issuance.

- Commonwealth Association for Corporate Governance – Principles for Corporate Governance in the Commonwealth (1999)
- IMF – Code of Good Practices on Transparency in Monetary and Financial Policies: Declaration of Principles (1999)
- IMF – Revised Code of Good Practices on Fiscal Transparency (1998)
- IMF and World Bank – Guidelines for Public Debt Management (2001)
- International Associations of Insurance Supervisors – Insurance Core Principles (2000)⁶
- King Committee – Report on Corporate Governance for South Africa (2002)⁷
- OECD – Best Practices for Budget Transparency (2001)
- OECD – Guidelines on Corporate Governance of State-Owned Enterprises (2005)⁸
- OECD – Principles of Corporate Governance (2004)⁹

Objective four: Fight corruption and money laundering

- AU – Convention on Preventing and Combating Corruption (2003)
- Financial Action Task Force – Special Recommendations on Terrorist Financing (2004)¹⁰
- Financial Action Task Force – The Forty Recommendations (2003)¹¹
- International Federation of Accountants (IFAC) – International Standards in Auditing – The Handbook of International Auditing, Assurance, and Ethics Pronouncements (2006 edition)
- OECD – Convention on Combating Bribery of Foreign Public Officials in International Business Transactions (1997)
- UN – Convention against Corruption (2003)

5. This does not appear in the list of standards of the OSCI or Questionnaire, but in a list of key corporate objectives the OSCI notes that countries should 'promote the adoption of good business ethics (e.g. Cadbury and King codes) in achieving the objectives of the organisation.' Therefore, it has been included as a standard.

6. The OSCI refers to 'Principles for Securities and Insurance Supervision and Regulations' and the Questionnaire to 'Core Principles for Security and Insurance Supervision and Regulations.' These documents do not, however, specify the issuing agency. Since the International Association of Insurance Supervisors is acknowledged as an insurance authority across the world, its Insurance Core Principles have been included here.

7. See footnote 6. Explanatory material in the Questionnaire in the corporate governance section discusses the King report and cites its definition of corporate ethics. Therefore, it has been included.

8. The Questionnaire lists only 'principles of corporate governance (international and national)' without giving a source. The OSCI also refers generically to 'principles of corporate governance (OECD and Commonwealth)' but does not give the specific name of the standard. Because the OECD covers the rules for state-owned enterprises in a separate document but they are an essential aspect of corporate governance, this document is included here as a standard.

9. The Questionnaire lists only 'principles of corporate governance' without giving a source but the OSCI mentions the OECD and Commonwealth principles.

10. This is not mentioned by name in the OSCI or the Questionnaire but the special recommendations are considered an addendum to the main 40 recommendations of the FATF. Thus they were included.

11. The Questionnaire does not list this as a standard but it provides a table of 'useful websites' that includes the FATF as a source of information on money laundering standards. Thus it has been included it as a standard.

Objective five: Accelerate regional integration by participating in the harmonisation of monetary, trade and investment policies

- OAU – Treaty Establishing the African Economic Community (1991)
- Regional economic community agreements

Corporate governance

Objective one: Promote an enabling environment and effective regulatory framework for economic activities

- Bank for International Settlements – Core Principles for Systemically Important Payment Systems (2001), Committee on Payment and Settlement Systems
- Basle Committee on Banking Supervision – Core Principles for Effective Banking Supervision (1997)¹²
- Cadbury Commission – Report of the Committee on the Financial Aspects of Corporate Governance - Cadbury Report (1992)
- Commonwealth Association for Corporate Governance – Principles for Corporate Governance in the Commonwealth (1999)
- IMF – Code of Good Practices on Transparency in Monetary and Financial Policies: Declaration of Principles (1999)
- IMF – Revised Code of Good Practices on Fiscal Transparency (1998)
- IMF and World Bank – Guidelines for Public Debt Management (2001)
- International Association of Insurance Supervisors – Core Principles for Security and Insurance Supervision and Regulation (2000)
- International Associations of Insurance Supervisors – Insurance Core Principles (2000)
- International Federation of Accountants (IFAC) – International Standards in Auditing – The Handbook of International Auditing, Assurance, and Ethics Pronouncements (2006 edition)
- International Standards in Auditing – The Handbook of International Auditing, Assurance, and Ethics Pronouncements (2006 edition), International Federation of Accountants (IFAC)
- King Committee – Report on Corporate Governance for South Africa (2002)
- OECD – Guidelines on Corporate Governance of State-Owned Enterprises (2005)
- OECD – Principles of Corporate Governance (2004)

12. The OSCI and Questionnaire refer to Core Principles for Effective Banking Supervision, but do not specify the issuing agency. The Basle Committee is the recognised international standards body in this area and their standard carries the same name, so has been included here.

Objective two: Ensure that corporations act as good corporate citizens with regards to human rights, social responsibility and environmental sustainability

- Cadbury Commission – Report of the Committee on the Financial Aspects of Corporate Governance - Cadbury Report (1992)
- Commonwealth Association for Corporate Governance – Principles for Corporate Governance in the Commonwealth (1999)
- King Committee – Report on Corporate Governance for South Africa (2002)
- OAU – African Charter on Human and People’s Rights (1981)
- OECD – Guidelines on Corporate Governance of State-Owned Enterprises (2005)
- OECD – Principles of Corporate Governance (2004)
- WHO – Codes on Industrial and Environmental Safety and Hygiene¹³

Objective three: Promote adoption of codes of good business ethics in achieving the objectives of the corporation

- International Accounting Standards Board (IASB) – International Accounting Standards
- Basle Committee on Banking Supervision – Core Principles for Effective Banking Supervision (1997)
- Cadbury Commission – Report of the Committee on the Financial Aspects of Corporate Governance - Cadbury Report (1992)
- Commonwealth Association for Corporate Governance – Principles for Corporate Governance in the Commonwealth (1999)
- International Association of Insurance Supervisors – Core Principles for Security and Insurance Supervision and Regulation (2000)
- International Federation of Accountants (IFAC) – International Standards in Auditing – The Handbook of International Auditing, Assurance, and Ethics Pronouncements (2006 edition)
- International Standards in Auditing - The Handbook of International Auditing, Assurance, and Ethics Pronouncements (2006 edition), International Federation of Accountants (IFAC)
- King Committee – Report on Corporate Governance for South Africa (2002)
- OAU – African Charter on Human and People’s Rights (1981)
- OECD – Guidelines on Corporate Governance of State-Owned Enterprises (2005)
- OECD – Principles of Corporate Governance (2004)

13. Both the OSCI and Questionnaire refer to codes of the World Health Organisation regulating Industrial and Environmental Safety and Hygiene, but do not specify which of these are applicable.

Objective four: Ensure that corporations treat all their stakeholders (shareholders, employees, communities, suppliers and customers) in a fair and just manner

- ILO – Abolition of Forced Labour Convention (1957)¹⁴
- ILO – Discrimination (Employment and Occupation) Convention (1958)
- ILO – Equal Remuneration Convention (1951)
- ILO – Forced Labour Convention (1930)
- ILO – Freedom of Association and Protection of the Right to Organise Convention (1948)
- ILO – Minimum Age Convention (1973)
- ILO – Right to Organise and Collective Bargaining Convention (1949)
- ILO – Worst Forms of Child Labour Convention (1999)
- UN – World Summit on Sustainable Development, Johannesburg Declaration on Sustainable Development (2002)
- WHO – Codes on Industrial and Environmental Safety and Hygiene

Objective five: Provide for accountability of corporations, directors and officers

- Basle Committee on Banking Supervision – Core Principles for Effective Banking Supervision (1997)
- Cadbury Commission – Report of the Committee on the Financial Aspects of Corporate Governance - Cadbury Report (1992)
- Commonwealth Association for Corporate Governance – Principles for Corporate Governance in the Commonwealth (1999)
- International Accounting Standards Board – International Accounting Standards
- International Association of Insurance Supervisors – Core Principles for Security and Insurance Supervision and Regulation (2000)
- International Federation of Accountants (IFAC) – International Standards in Auditing – The Handbook of International Auditing, Assurance, and Ethics Pronouncements (2006 edition)
- King Committee – Report on Corporate Governance for South Africa (2002)
- OAU – African Charter on Human and People’s Rights (1981)
- OECD – Guidelines on Corporate Governance of State-Owned Enterprises (2005)
- OECD – Principles of Corporate Governance (2004)

14. The various ILO standards are included generically in both the OSCI and Questionnaire. Those included in the table, although by no means a complete list, are regarded by the ILO as ‘fundamental’ and were therefore considered worth noting specifically.

Socio-economic development

All objectives

- OAU – African Charter on Human and People’s Rights (1981)
- UN – Declaration on the Right to Development (1986)
- UN – Millennium Declaration (2000)
- UN – Millennium Development Goals (2000)¹⁵
- UN – Report of the World Summit for Social Development (1995)

Objective one: Promote self-reliance in development and build capacity for self-sustaining development

- IMF – Code of Good Practices on Transparency in Monetary and Financial Policies: Declaration of Principles (1999)
- IMF – Revised Code of Good Practices on Fiscal Transparency (1998)
- IMF and World Bank – Guidelines for Public Debt Management (2001)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa – Solemn Declaration (2000)
- OAU – Conference on Security, Stability, Development and Co-operation in Africa – Memorandum of Understanding on Security, Stability, Development and Co-operation in Africa (2002)
- UN – International Conference on Popular Participation in the Recovery and Development Process in Africa, African Charter for Popular Participation in Development and Transformation (1990)
- UN – Report of the World Summit for Social Development (1995)
- UN – World Summit on Sustainable Development, Johannesburg Declaration on Sustainable Development (2002)

Objective two: Accelerate socio-economic development to achieve sustainable development and poverty eradication

- UN – World Summit on Sustainable Development, Johannesburg Declaration on Sustainable Development (2002)

Objective three: Strengthen policies, delivery mechanisms and outcomes in key social areas including education and combating of HIV/AIDS and other communicable diseases

- UN – World Summit on Sustainable Development, Johannesburg Declaration on Sustainable Development (2002)
- WHO – Codes on Industrial and Environmental Safety and Hygiene

15. These are not referenced directly in the OSCI or Questionnaire, but as they are related to the UN’s Millennium Declaration – which is mentioned. Therefore the Millennium Development Goals have been included.

Objective four: Ensuring affordable access to water, sanitation, energy, finance (including micro-finance), markets, ICT, shelter and land to all citizens, especially the rural poor

- AU – Protocol to the African Charter on Human and Peoples’ Rights on the Rights of Women in Africa (2003)
- OAU – African Charter on the Rights and Welfare of the Child (1990)
- UN – Fourth World Conference on Women, Beijing Declaration and Platform for Action (1995)
- UN – World Summit on Sustainable Development, Johannesburg Declaration on Sustainable Development (2002)

Objective five: Progress towards gender equality in all critical areas of concern, including equal access to education for girls at all levels

- AU – Protocol to the African Charter on Human and Peoples’ Rights on the Rights of Women in Africa (2003)
- OAU – African Charter on the Rights and Welfare of the Child (1990)
- UN – Fourth World Conference on Women, Beijing Declaration and Platform for Action (1995)

Objective six: Encourage broad-based participation in development by all stakeholders at all levels

- UN – International Conference on Popular Participation in the Recovery and Development Process in Africa, African Charter for Popular Participation in Development and Transformation (1990)

USEFUL SOURCES FOR DESK RESEARCH ON GOVERNANCE



This list suggests useful sources for desk research on governance. It is arranged alphabetically by major topics covered in the APRM Questionnaire for ease of use. Some sources have been repeated when they pertain to multiple topics.

All issues and sections

National development plans. Each country usually produces comprehensive plans that set out national development priorities. These are useful to identify government programmes and initiatives, especially in infrastructure, social services, health, education, housing poverty reduction, and industrial development. Source: Ministry of Planning or equivalent, government website or government printing office.

UNECA governance studies. The 2005 UNECA African Governance Report is the result of research covering governance practices in 27 African countries. UNECA does extensive research on governance issues in general. See also Synopsis of the African Governance Report 2005.

Source: <http://www.uneca.org/publications1.htm>

Google. An ordinary Google search can find myriad studies, papers and websites pertaining to particular countries. Enter key phrases for areas where evidence is lacking and it can find sources to support arguments.

Source: <http://www.google.com>

Google scholar. This is a sub-section of the Google search site that can help find academic studies on particular countries.

Source: <http://scholar.google.com/>

Corporate governance

World Bank Investment Climate Surveys. These surveys are designed to monitor the business environment, not governance *per se*. ICS collects data from firms on both objective and subjective indicators covering a wide range of investment climate dimensions. Its database contains information on about

75 countries; it aims to cover 20–30 countries each year and re-survey each country every three years or so.

Source: <http://iresearch.worldbank.org/ics/jsp/index.jsp>

World Bank/IFC Doing Business surveys. These are useful to corporate governance assessments. The database covers 155 countries and all country scores are updated annually. The surveys show the cost of doing business in terms of time and money in dealing with a variety of government agencies in each country. The surveys addresses 10 areas of regulation: starting a business, dealing with licenses, hiring and firing workers, registering property, getting credit, protecting investors, paying taxes, enforcing contracts, trading across borders, and closing a business. Source: <http://www.doingbusiness.org/>

World Economic Forum Global Competitiveness Index. This index ranks the competitiveness of global economies and is relevant to the economic governance, corporate governance and socio-economic development sections of the APRM. See also the Africa Competitiveness Index.

Sources: <http://www.weforum.org/en/initiatives/gcp/Global%20Competitiveness%20Report/index.htm> and <http://www.weforum.org/en/initiatives/gcp/Africa%20Competitiveness%20Report/index.htm>.

Corruption

Anti-corruption reports. Most countries have local Anti-Corruption Commissions or similarly named bodies that produce annual reports. This should be supplemented with independent assessments produced by local anti-corruption groups or lobbies, investigative newspaper reports, local chapter of Transparency International or similar bodies. Sources: Anti-Corruption Commission, Transparency International Chapter, other local anti-corruption organisations, investigative newspaper articles.

Auditor-General's reports. These documents are useful as they outline systemic problems in fiscal and economic management, which departments and regions are performing well or poorly, and often identify specific cases of economic mismanagement and potential or actual corruption. Source: Office or website of the auditor-general or government printing office.

Center for Public Integrity. This non-profit, non-partisan research organisation in Washington, DC concentrates on ethics and public service issues. It produces the Global Integrity Index (GII) that evaluates aspects of governance and anti-corruption systems in many countries. The index focuses on measurement of 'the existence and effectiveness of mechanisms that prevent abuse of power and promote public integrity, and on the access that citizens have to their government.' The GII is based on answers to more than 290 detailed questions that identify specific elements that make up a sound public integrity system. Although the index does not cover all APRM countries, its questions provide a valuable checklist for examining governance. Sources: www.publicintegrity.org/ and www.globalintegrity.org.

IMF Fiscal Reports on Observance of Standards and Codes (ROSCs).

Participation in an ROSC is voluntary and the authorities retain the right not to publish the final report, although most have agreed to publish fiscal ROSCs. As of the end of 2005, fiscal ROSCs have been completed for 80 countries, and 76 of these have been published.

Source: <http://www.imf.org/external/np/rosc/rosc.asp>.

Ombudsman's reports. Most countries have an ombudsman charged with following up claims of mal-administration and corruption. The ombudsman should produce annual reports. Source: Office of the Ombudsman (sometimes called the Public Protector).

Organisation for Economic Co-operation and Development–Development Assistance Committee (OECD-DAC) Baseline Indicator Set (BIS) for Procurement tool. This tool provides an approach to assessing procurement systems but rankings are not available for many countries. Specific 'actionable' indicators measuring key aspects of public administration have been piloted in three countries. Source: <http://www.oecd.org/dataoecd/12/14/34336126.pdf>.

Transparency International's Corruption Perception Index and Bribe Payers Index. These indices show perceptions of corruption in particular countries, as well as which countries pay the most bribes, and to whom.

Source: www.transparency.org.

World Bank Institute. The WBI produces rankings of national governance along six attributes. Data are available for more than 160 countries and each country is ranked according to its performance relative to other nations or regional averages. The data can be obtained easily from the World Bank Institute website. The rankings amalgamate a variety of indicators of governance into six broad measures:

- Voice and accountability
 - Political stability and absence of violence
 - Government effectiveness
 - Regulatory quality
 - Rule of law
 - Control of corruption
- Source: www.worldbank.org/wbi/governance/govdata/

Democracy and political governance

Afrobarometer. This project surveys opinions on democracy, elections, and governance across many (but not all) African countries. The information can be a valuable form of evidence in preparing an APRM submission.

Source: www.afrobarometer.org.

Election observer reports. African countries host a number of local, African and international observers for local, parliamentary and presidential

elections. Comparisons of the issues raised in these reports are good pointers to weaknesses in electoral laws and practice in a country. Note that they often differ in what is reported and how it is interpreted. Sources: useful reports are available from National Electoral Commissions, local election monitoring groups, SADC (or other relevant regional body), SADC Parliamentary Forum, the African Union, the Electoral Institute of Southern Africa, Commonwealth, European Union, UN and US government observer missions.

Human rights reports. Most countries have local Human Rights Commissions that produce annual reports. Depending on the country, reports from Amnesty International, Human Rights Watch and the US State Department highlight key human rights and governance issues. Sources: Human Rights Commission, Amnesty International, Human Rights Watch, or US Department of State Human Rights Reports and websites.

International Freedom of Information Exchange. This global association keeps track of media freedom issues and has alerts on countries where violations of media freedoms occur. It also has a list of related websites dedicated to human rights, democracy and other pertinent issues related to political freedoms. Source: <http://www.ifex.org/en/content/view/full/264>.

International Institute for Democracy and Electoral Assistance. This Swedish institute known as IDEA does research and produces a variety of publications useful in assessing aspects of democracy, elections, parliament and other aspects related to the APRM. Source: <http://www.idea.int/>.

Judicial services commission reports. Most countries have a judicial services commission that reports on the operation of the judiciary. Similar reports may be produced by the law society or legal bodies. Sources: Judicial Services Commission and Law Society.

Media Institute of Southern Africa (MISA). One of several organisations that keeps track of and comments on instances of infringement on the freedoms of speech and the media, which are important but not explicitly part of the APRM Questionnaire. There are 11 national chapters in Southern Africa. The group also prepares a report on the status of media freedom in the region. Source: <http://www.misa.org/sothisisdemocracy.html>.

Parliamentary oversight committee reports. These are crucial reports that should monitor and track government expenditure, and hold departments and officials to account for spending. Others such as ethics committees hold MPs accountable for their conduct and actions. Sources: Public Accounts Committee, Ethics Committee.

World Bank Institute. The WBI produces rankings of national governance along six attributes. Data are available for more than 160 countries and each country is ranked according to its performance relative to other nations or regional averages. The data can be obtained easily from the World Bank Institute website. The rankings amalgamate a variety of indicators of

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- Voice and accountability
- Political stability and absence of violence
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- Control of corruption

Source: www.worldbank.org/wbi/governance/govdata/.

Economic governance and management

Auditor-General's reports. These documents are useful as they outline systemic problems in fiscal and economic management, which departments and regions are performing well or poorly, and often identify specific cases of economic mismanagement and potential or actual corruption. Source: Office or website of the auditor-general or government printing office.

Budget speech. The Minister of Finance's annual budget speech usually provides details of government priorities and spending patterns, as well as key programmes and initiatives. Source: Ministry of Finance/Treasury, government website.

IMF Fiscal Reports on Observance of Standards and Codes (ROSCs).

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Source: <http://www.imf.org/external/np/rosc/rosc.asp>.

International Budget Project. This organisation provides a useful newsletter and a variety of guides to assist NGOs in monitoring government budget expenditure and how to assess parliaments and other institutions.

Source: <http://www.internationalbudget.org/index.htm>

Parliamentary oversight committee reports. These are crucial reports that should monitor and track government expenditure, and hold departments and officials to account for spending. Others such as ethics committees hold MPs accountable for their conduct and actions. Sources: Public Accounts Committee, Ethics Committee.

World Bank Country Policy and Institutional Assessments (CPIA).

CPIA quintile rankings (all countries are divided into five groups based on their rank relative to other nations) have been disclosed by the World Bank but not the actual scores for each element of governance measured. Country performance assessment ratings, largely determine the allocation of development banks' concessional funds. CPIAs examine policies and institutions, not development outcomes, which can depend on forces outside

a country's control. The CPIA looks at 16 distinct areas grouped into four clusters (see below). Bank staff score individual countries along an absolute 1–6 scale based on highly specific criteria.

Source: www.worldbank.org/wbi/governance/data and <http://info.worldbank.org/governance/kkz2002/notes.html>

A. Economic management

1. Macroeconomic management
2. Fiscal policy
3. Debt policy

B. Structural policies

4. Trade
5. Financial sector
6. Business regulatory environment

C. Policies for social inclusion/equity

7. Gender equality
8. Equity of public resource use
9. Building human resources
10. Social protection and labour
11. Policies and institutions for environmental sustainability

D. Public sector management and institutions

12. Property rights and rule-based governance
13. Quality of budgetary and financial management
14. Efficiency of revenue mobilisation
15. Quality of public administration
16. Transparency, accountability, and corruption in the public sector

Socio-economic development

Budget speech. The Minister of Finance's annual budget speech usually provides details of government priorities and spending patterns, as well as key programmes and initiatives. Source: Ministry of Finance/Treasury, government website.

Public Affairs Foundation. *Citizen Report Cards: A Resource Kit* provides an introduction to the concept citizen report cards or surveys. *Citizen Report Cards – A Brief Introduction* provides a short introduction to the concept of conducting citizen report cards on government activities, which can be a useful form of evidence in the APRM.

Sources: <http://www.citizenreportcard.com/index.html>

http://paf.mahiti.info/pdfs/CRC_Profile_eamonedit_.pdf

Sectoral reviews. There will be reviews of particular sectors of the economy, including health, education, water, housing, sanitation and so on. Sources: university departments or think tanks, donors or regional or international research institutions.

Southern African Regional Poverty Network (SARPNet). This website posts a wide variety of studies and news on economic development, poverty and governance. Searching on a given country can find authoritative sources that can be used as evidence, particularly on socio-economic matters.

Source: *www.sarpn.org.za*.

UN agencies reviews. Both the UNDP and UNECA have done considerable work on governance issues, and may have produced reports on particular countries. Sources: *www.undp.org* and local UNDP office, and *www.uneca.org* and local UNECA office.

UNAIDS. This UN site has up-to-date country profiles on the state of HIV / AIDS across the globe. Source: *www.unaids.org*.

WHAT TO ASK FOR – A CIVIL SOCIETY CHECKLIST



The following is a summary of the key issues that civil society groups should be aware of before, during and after their national APRM process. Issues are arranged as questions that CSOs should be asking.

How the National Governing Council is selected and led

- Should the governing council follow an Eminent Person model, or be representative of all major constituencies?
- Should civil society elect its own representatives or should government select based on nominations?
- Does the governing council have a civil society majority and a civil society chair in keeping with the APRM Supplementary Guidelines?
- Does the Focal Point allow the council to make the decisions on research and writing of the report, as outlined in the Supplementary Guidelines, or does he/she attempt to control or lead the council?
- Do the selected civil society representatives have sufficient professional and managerial experience?
- Are they credible and widely accepted as non-partisan?
- Will the civil society representatives be able to work full time on the APRM for an extended period or can provision be made for full-time secondment?
- Should council members be paid, and if so, what is a fair amount and payment system?
- Is the proposed council too large for efficient decision-making?
- Should government representatives be non-voting members, as in Kenya?
- If the council is divided into subcommittees, does civil society retain a majority on the subcommittees?
- Can subcommittees take decisions on important matters such as research, editing and writing without consulting the wider council membership?

How the National Governing Council operates

Independence

- Is the local Secretariat to be chosen by the governing council or by government?
- Are its staff members to be drawn from business and civil society rather than from government?
- Who chairs the council?
- Where should council and local secretariat offices be located – inside government or at independent premises?
- To what extent can the council take spending decisions without seeking government approval for specific forms of research or consultation?
- If civil society members have full-time jobs and cannot attend all meetings, how are decisions taken? Can they nominate alternates?

Transparency and council operations

- Should council meetings be public? Should they be open to the media?
- Are governing council meetings, decisions and debates properly recorded and the minutes made publicly available?
- How should decisions be taken if all members cannot attend a meeting?
- If the Secretariat is located in government offices what measures ensure that it takes direction from the council and not from government?
- Is it permissible for an executive committee to take decisions without consulting the wider membership?
- Has the council formally discussed research methods and committed the research and consultation to paper?
- Has the research and consultation plan and the associated budget been circulated for comment before finalisation?
- Does the council have a website for displaying all public inputs, survey results and draft thematic reports?

Budgeting

- Does the council require legal status to approve spending? If so, have the necessary laws been passed? If not, what provisions have been made to ensure that the council has autonomy in its conduct of research?
- How should council decisions relate to national tendering and procurement laws?
- Are the funds adequate to conduct all of the forms of research and consultation required by the APRM?
- Has adequate provision been made for a citizen survey?
- Has adequate provision been made for desk research to ensure that the APRM takes on board the recommendations of the national development plan, MDG plans, Poverty Reduction Strategy Papers and other reviews?

- Has adequate provision been made to allow for printing and distribution of desk research and draft reports well before public consultations and expert workshops occur?
- Is there provision for funds to assist civil society organisations in drafting their own APRM submissions, to cover costs for facilitators, rental of meeting space, and/or hiring of editors to help write a submission?

Processes for research and consultation

Research mix

- What combination of technical research, desk research, surveys and public consultation methods should be used?
- Does the research plan reach all regions, ethnic groups and ages effectively?
- Does the research plan identify the particular experts, interest groups and government officials needed to deal with the main issue clusters in the Questionnaire?
- Does the research plan incorporate a well-planned public opinion survey based on a representative sample that reaches all regions, ages and ethnic groups?
- Has time been allocated for conversion of the APRM Questionnaire into a robust survey instrument that is translated into local languages?
- Does the country have a statistically representative survey sample system or must one be created?
- Does the research plan provide enough time, staff and resources to answer the many technical questions in the APRM concerning the constitution, separation of powers, trade policy, monetary policy, budgetary procedures, human rights, social development indicators and local or provincial government administration, among other subjects?
- Does the research plan make provision for use of independent Technical Research Institutes to summarise public inputs and ensure that the APRM Questionnaire is properly answered without political interference?
- Are the criteria for selection of Technical Research Institutes clear and appropriate, given the demands of the Questionnaire?
- Are the Technical Research Institutes allowed to subcontract if necessary to obtain specialised expertise?

Writing and editing

- Are there written guidelines to ensure that the style, sections and use of evidence and footnotes are consistent across the four APRM thematic areas produced by different research institutes?
- Are there clear rules about how summarising longer technical reports produced by the Technical Research Institutes should be done to prevent the removal of controversial issues or evidence?

- Research institutes are typically responsible for drafting the Country Self-Assessment Report and Programme of Action but precisely how are final revisions done?
- If the council revises the draft, precisely how is the text edited and who approves? Should the council edit and government members comment on the edits? If the Secretariat edits the text and it reports to government, what controls does the council have to prevent edits from taking out controversial issues?
- Have clear editing guidelines been agreed so that the final report acknowledges sources and continues to reflect different opinions?
- Does the final report include specific comments, quotes and points of view when there are divergent views on certain aspects of governance or does it attempt to assert one consensual voice?
- Are the sources of data and opinion clearly footnoted?

Validation

- Does the research plan make provision for time and funds to circulate the draft Country Self-Assessment Report for comment?
- Does the research plan include separate seminars of adequate length to validate the draft Country Self-Assessment Report and Programme of Action, which may run to hundreds of pages and require discussion of many specialised aspects of governance?

Programme of Action

- Does the research and consultation plan include adequate time for development of a comprehensive Programme of Action?
- Have government departments been given authorisation to participate in the process so that civil servants are free to comment about needed reforms and provide evidence of how to improve existing programmes?
- Has the desk research phase clearly noted recommendations made in other national reviews and the status of their implementation?
- Have researchers investigated the reasons that have delayed or weakened implementation of past reforms to determine how the Programme of Action should take account of these obstacles?
- Is the Programme of Action realistically costed?
- Does Programme of Action provide detailed separate documents for each action item? Do these stipulate the management, resources, timing, technical obstacles and preliminary steps required, such as writing and passing legislation and obtaining budget authorisation?
- Is responsibility clearly assigned?
- How should it be handled when the testimony and/or evidence suggests that existing reform programmes are not working?

Adequate time

- Does the envisioned time frame allow adequate opportunity for civil society, business and other interested parties to make written submissions?
- Is there provision to halt the process for elections?
- Are consultation meetings advertised well in advance to give citizens a fair chance to participate?
- Are all public submissions, the Country Self-Assessment Report and Programme of Action made public in a timely way?
- Are participants in validation meetings afforded access to the draft Country Self-Assessment Report and the proposed Programme of Action with sufficient time to allow for meaningful comment on their contents?
- Does the research and validation plan allow adequate time for senior government officials, research agencies and civil society to debate draft reports and recommendations? This would require at a minimum two to three days dedicated to each of the APRM's four thematic areas.

Content – What the reports and Programme of Action say*The Country Self-Assessment Report*

- Does the report answer all of the APRM questions?
- Does it reflect on the country's positive achievements?
- Does it reflect best practices?
- Does it include all of the major problems and their contributing causes?
- Does it reflect the differing views presented in public submissions, including by government?
- Is it fair, comprehensive and technically competent?
- Is the text candid in discussing problems?
- Are there major national problems that are not addressed or are given inadequate explanation?
- Is the assessment based on fair and broad consultation and rigorous technical research?
- Does the final text reflect the version publicly validated by citizens?

Programme of Action

- Do the solutions proposed in the Programme of Action offer a realistic potential to address fully the problems identified in the self-assessment?
- Are the actions or methods used to solve problems clearly explained?
- Is the Programme of Action realistically costed?
- Is responsibility clearly assigned?
- Does the Programme of Action acknowledge problems that are very large in scale, socially complex, and without apparent solutions, and make provision for additional research and policy experimentation?

Country Review Report

- Are there key issues that have been left out of the Country Self-Assessment Report or Programme of Action that the review team should be made aware of?
- Are there key documents supporting these areas that would help the review team understand and assess the missing issues?
- Does the Country Review Team have contact details of key experts and organisations who would add valuable perspective to the Country Review Team deliberations?
- Can CSOs find out and widely share information on who is on the Country Review Team, when they arrive, what hotels they will use and when and where they will hold public consultations?

How the APRM is Institutionalised and monitored

- Is there a suitable system to independently monitor progress on the Programme of Action?
- Is there a separation between the agency responsible for implementation and the one responsible for monitoring and reporting?
- Has authority for such monitoring and appropriate funding been provided to an appropriate institution?
- Has parliament been involved in monitoring the APRM through the public accounts committee or the auditor-general?
- Has budgetary provision been made to enable effective implementation of Programme of Action items?
- Does the final Programme of Action clearly distinguish which programmes or activities are new as a result of the APRM process?
- Does the final Programme of Action make clear which programmes will be funded through the next national budget and which require new sources of funding?

80 LESSONS FOR SUCCESS

This book is a practical guide to the processes and internal dynamics of the African Peer Review Mechanism (APRM). Its goal is to strengthen the system by helping future participants better anticipate the challenges of peer review and more successfully take advantage of the opportunities it offers. The following list summarises the major lessons offered by participants in the pioneer countries, which have been discussed in greater detail throughout the book. The lessons below roughly follow the sequence in which ideas were developed in the book, with a few exceptions. The media was mentioned in various places but has been included here as a separate section. Planning was discussed throughout the book, but it is placed first in this appendix because the principles of effective planning are important to bear in mind from the very beginning.

Getting the foundation right – approaches to planning the APRM process

1. **Good planning means anticipation.** Good management requires a clear understanding of what one intends to achieve, anticipation of problems and deployment of strategies to realise the positive while minimising the negative. Each participating nation must produce a Country Self-Assessment Report and Programme of Action. In addition, participants must consider in their planning how best to manage the politics of consensus building and forging trust. APRM plans should include a list of specific challenges and the approaches needed to address each one. On the research side, participants need to fully appreciate the complexity of the Questionnaire, what forms of desk research are needed, the realistic time and costs of research and public consultation, and what forms of investigation and participation are needed to ensure that the APRM Programme of Action (POA) adds to rather than repeats other development plans. (See research, consultation, media and Programme of Action sections below.)
2. **Good management is proactive, not reactive.** Strategies to maximise benefits and minimise problems should be put in place before problems

strike. It is easier to prevent problems than perform repairs after the damage is done. Thus the first step should be to list the expected benefits and problems in completing the APRM, then design specific strategies to deal with them. Study the mistakes and lessons from the pioneer countries and incorporate them into plans.

3. **Accurate budgets should be based on a detailed activity plan.** Inaccurate estimates of the cost of the APRM can result in funds running out midway through the process. To ensure that budgets are accurate and adequate, they should be based on the actual activities required, including surveys, regional consultation meetings, fees for Technical Research Institutes, printers, conference venues and other costs.
4. **Arranging funding and financial management systems takes much longer than anticipated.** Whether countries rely on internal funding or seek aid from development partners, the early countries have found that negotiations with government and donors is difficult, time-consuming and affects APRM planning.

There is a chicken-and-egg question involved in budgeting. Although budgets should be prepared at the beginning of the process, the research and consultation plan should be decided by the National Governing Council on a consultative basis. This means that the process requires discussion on how to form the council, which then agrees on the activity list and the budget. If these steps are followed, there will be a gap in activity as parliament allocates expenditure or government seeks funds from aid donors. If the APRM is funded by government, it must be provided for in the annual national budget, which must be prepared well before actual disbursement can begin. Depending on when the APRM is initiated relative to the budget cycle, this can result in further delays. If countries hope to rely on donor funds, donors also require clear and accurate budgets and some require that the funds be administered by the National Governing Council, which means it must be granted legal status, an accounting system and rules to govern its use of funds.

5. **Studying the Questionnaire is vital to effective planning.** Before finalising consultation plans, it is vital that participants familiarise themselves with the kinds of questions asked in the Questionnaire and the many forms of expertise that it requires. Identifying clusters or related issues and experts or institutions that can help analyse them can make the research phase go more smoothly. Such a list also is a useful planning tool to help match the issues with interested parties or experts who should be invited to participate.
6. **APRM plans should be committed to writing.** The act of creating a written plan can improve time management by helping participants to think of all the sub-activities and interim deadlines. Identifying all the needed activities and research methods can improve budgeting and build trust, by allowing participants to see the agreed steps and, where

needed, provide a critique of them. Start by listing the technical and popular consultation methods that will be needed, including a citizen survey, desk research, focus groups, outreach to key constituencies, regional consultations, validation workshops, and efforts to develop the Programme of Action. For each major activity, identify sub-activities and deadlines for advanced preparation. Then estimate costs and circulate the plan for additional comment. Adjust the plan to accommodate concerns to make it realistic and achievable.

7. **Conform to the highest APRM standards.** An effective APRM review would be candid, open, planned, participatory, exemplary and rigorous – ‘COPPER’.

Candid – The end result should be a report and Programme of Action that discuss problems, solutions and best practices honestly and frankly. Describing problems in candid terms reinforces perceptions of honesty, which adds positively to internal and external perceptions of the process.

Open – The process used to develop the report and Programme of Action should be open and transparent. Openness and transparency are the best ways to build trust, pre-empt criticism and deflect concern over political manipulation. Citizens readily conclude that closed processes are hiding something.

Planned – The process should be well planned, anticipate problems and incorporate the lessons from the APRM pioneer countries. The better the planning, the more likely the results will achieve the country’s goals.

Participatory – The process should involve broad and meaningful participation from the public, business, government and different regions, ethnic and religious groups. The more participatory the process, the more likely civil society will remain supportive and the more likely the process will produce a comprehensive report that all parties support.

Exemplary – A process that reflects well on government and the nation should strive to incorporate the best practices from other APRM nations and bring some innovations to strengthen the APRM system. Actively seeking out best practices can demonstrate sincerity and credibility.

Rigorous – The research and analysis should be of a high quality, be systematic and objective. The more robust the research, the more likely the process will result in reforms that make fundamental improvements to governance.

Governing the process at national level

Selecting a council

8. **Civil society should lead the National Governing Council and have a majority of seats.** The Supplementary Guidelines urge countries to establish a governing council or commission composed of respected, non-partisan professionals the majority of whom should come from civil society and business. Best practice suggests allowing the council to elect its own chairperson, taking into account professional and management experience. Government should be a minority on the council and allow the council to take the key decisions about public consultation, choice of research institutes, and research methods as well as writing and editing.
9. **Civil society needs full-time representation.** Managing the APRM is a time-consuming process and if civil society is only represented at infrequent meetings, government and the local Secretariat can effectively control decision-making between meetings. To ensure that the council functions as a representative body, it needs civil society representatives who can be seconded to it on a full-time or near full-time basis.
10. **Persons selected for the National Governing Council should be widely recognised as competent and non-partisan.** Applying the 'Eminent Persons' concept to the selection of National Governing Council members lends credibility to the process, builds trust and can improve management. People chosen for the council should be widely accepted by government and civil society as distinguished citizens who are knowledgeable, objective, respected and non-partisan. Council members also should be able to dedicate full-time attention to the process.
11. **Selections for the National Governing Council should be subjected to public comment.** Once names are put forward for possible council positions, the list of nominees should be circulated for public comment so that the media, political parties and civil society organisations can comment.

Roles and Responsibilities

12. **The Focal Point should be a liaison with government and not the chairperson of the National Governing Council.** The Focal Point function should fill a diplomatic role, facilitating government participation, leaving the National Governing Council to make the key decisions concerning the process, the research to be used and the selection of personnel. As noted in the Base Document, the process must be credible and free of political manipulation. It should also be perceived as such.
13. **The support Secretariat should be chosen by the National Governing Council.** Control of the national support Secretariat matters as much as the composition of the governing council in delivering a candid, fair report. The support Secretariat will be involved in many decisions affecting the impartiality of the process. To ensure that it acts fairly and in accordance with the National Governing Council, the Secretariat should

not be drawn from government, should be selected by the council and have its offices located outside government premises.

14. **The National Governing Council should control its own funding.** The National Governing Council should be established as a legal entity able to manage its own funding to avoid having to obtain separate approvals for every spending item. This may require special administrative arrangements or laws to be passed before work can begin. Approval processes and compliance with national procurement laws and any relevant donor agency rules should be made clear at the outset.

Administrative arrangements

15. **The National Governing Council requires substantial manpower.** Participants in the early countries tended to underestimate the amount of clerical and logistical support that the process requires. The National Governing Council could also help build interest and expertise by creating a university internship programme, which would select graduate students to take one semester off from studies and work for the council and/or Technical Research Institutes as paid interns.
16. **The process requires proper computer, e-mail, and website support.** A smooth-running computer set-up with e-mail and a website can make the consultation process much easier and more effective. There should not be software and connectivity problems when invitations have to be sent. Relying on established research institutes that already have such infrastructure can be one way to get the operation up and running quickly.
17. **The governing council needs an accurate database of experts and civil society groups.** The council should ensure that its support Secretariat dedicates staff and ample research time to developing a database of civil society, business, academia, government and quasi-government bodies (such as the human rights and electoral commissions). This is important to ensure that all major constituencies are consulted and invitations to APR events or requests for comment can be sent with ample advance warning. Umbrella organisations of non-governmental organisations or business frequently have limited staff and financial resources, hampering their ability to inform all members of events in a timely way. If they fail to communicate effectively, civil society more broadly may still blame the process and the government. Instead of assuming that the vice-chancellor of a university will pass on invitations to the relevant academic departments, it is much better to develop a discrete list of experts by holding brainstorming sessions with knowledgeable people. Building such a list will require many telephone calls and invitations for interested parties and groups to submit names and contact details for inclusion on the national APRM list. It can be useful to place newspaper advertisements inviting interested parties to forward their contact details.

Media strategy

Having an effective media strategy is an essential part of both building trust and encouraging public debate. However, the media will not necessarily dedicate time and space to the substantive issues of governance. Frequently, the media focuses heavily on the events and transactions of the APRM: the arrival of the Country Support Mission, inauguration of the National Governing Council or disputes over managing the process. These event-driven stories can raise awareness, but do not necessarily build trust or foster conversation about underlying governance problems. To do that, more specific strategies are needed.

18. **Build relationships and trust with editors.** The decision about what to cover and how much reporting time should be focused on the APRM will be largely made by editors rather than reporters. If editors do not understand the APRM or do not believe that the process will be truly open, they may be unduly skeptical. The best way to convince editors that the process will be different, and thus worth covering, is to be open and candid with them. Regular briefings, a dedicated spokesperson and open meetings all help.
19. **Provide media management training for National Governing Council.** The media will be interested in the process and will want to ask many questions. Basic training for the National Governing Council can make members much more effective and avoid some common mistakes that can create distrust or antagonistic stories.
20. **Broadcast validation conferences.** Television and radio can be used to spread the word on the APRM and signal government commitment to the Programme of Action. Staging a live broadcast of launch conferences, expert workshops, parliamentary hearings and/or validation conferences could help with this. This would require funds for the TV crews and live links.
21. **Assign research institutes to prepare interim reports reflecting public views.** Governments are usually reluctant to allow journalists access to reports before they are complete, for fear that preliminary drafts will be taken out of context or misused. But the value of the APRM is in encouraging discussion of the various approaches to solving problems. There need not be one right answer and various participants will place different emphasis on different strategies to solve problems. To generate more coverage, research institutes should be encouraged to produce interim reports that are released to the media on key issues of interest to the public. These reports should be short – less than 1,000 words – and written in accessible language. They should reflect the various comments and competing strains of thought on the issue. They need not decide which is the right approach but reflect that citizens voiced concern about the quality of education or lack of transparency in tendering, for example. Putting such issues into the public domain also can have the

effect of galvanising government departments to explain their policies and performance, and make suggestions about what could be improved.

22. **Serialise reports in newspapers.** Several countries so far have struggled to gather written input from society. The perceived openness of the process affects the level of political commitment and follow-through that it enjoys. One way to generate media stories would be to create shortened versions of the expert desk-research papers, which could outline some of the key policy issues for which input is sought. These shortened papers could include the main issues and recommendations gathered so far. They could be introduced with a short introduction by the National Governing Council inviting the public to comment.
23. **Discuss media freedoms.** Media freedoms are central to accountability, fighting corruption and ensuring that elections are fair. One way to get the media to engage with the APRM is to invite them to make submissions on media freedoms and the related issues of licensing of journalists, defamation laws, freedom of information laws, and criminal libel.

The Questionnaire

The Questionnaire provides a crucial foundation for research and thus should influence the types of research used, the methods for consultation and the Programme of Action. The experience of early APRM countries has brought out important lessons about the Questionnaire.

24. **The Questionnaire's four thematic sections affect research planning.** Early countries have divided research efforts using the Questionnaire's thematic divisions, but this can create difficulties if the research institutions do not have sufficient staff or particular forms of expertise. Thus the assignment of particular research institutions to particular sections should take account of the number and difficulty of questions in each section and the number of researchers that those institutions can lend to the process for the duration of the APRM review. Breaking the research task into smaller, more manageable pieces can reduce the time needed for a review.
25. **The Questionnaire requires many forms of expertise.** The Questionnaire contains 25 objectives and 58 questions, many of which contain multiple ideas. The research effort may require specialised expertise to deal with such areas as trade, central banking, business regulation, the environment, health, education and other policy areas. Identifying the experts and interest groups pertaining to these fields can assist in planning consultations. It also can accelerate the research process if specialists knowledgeable in each field are engaged to pull together the relevant descriptions of problems and recommendations from past planning and research. For example, an energy expert is more likely to know what reviews have been done of the energy sector and the key government and non-government actors knowledgeable in that area.

26. **The breadth and depth of the Questionnaire will affect the funding needed for research and consultation.** If research institutes only assign one researcher to the APRM, the whole process will take longer, which affects the overall cost. The number of specialised consultations and interest groups to be engaged will also have cost implications and affect the overall time needed to complete the Country Self-Assessment Report and Programme of Action.
27. **If a citizen survey is to be conducted, the Questionnaire needs to be adapted.** The APRM Questionnaire poses questions in an open-ended format that allows participants to provide narrative answers. If a citizen opinion survey is to be conducted, the Questionnaire must be adapted to allow participants to choose a response from a list of choices or rankings. Such an approach makes it possible to quantify the responses. Adapting the Questionnaire in this way takes time and requires an experienced surveyor. In addition, the technical language of the Questionnaire would have to be simplified and multi-part questions divided into separate questions. Time must be allocated to translate the revised questions into local languages and to test the accuracy of the translation to prevent misunderstandings.
28. **The Questionnaire includes cross-cutting themes that create research and report-writing challenges.** The Questionnaire includes discussion of corruption, gender, sustainable development and decentralisation in more than one of the four thematic areas. If research is assigned to four research institutes, there will be duplication in handling these cross-cutting sections. It would thus make sense to group the gender, human rights and vulnerable-groups issues together in a cluster. Likewise the questions on managing an effective civil service, corruption, and money laundering, which are spread through the political, economic and corporate sections, would be easier to research if grouped in a cluster related to oversight and corruption. This would make it easier to split research into particular working groups of experts and interest groups who would work together on specialised questions.
29. **Some questions would be more easily answered if given an institutional rather than thematic focus.** The questions are broadly oriented along thematic lines, but in some cases, the research and report writing would be easier if the questions were changed to ask for an assessment of particular institutions. For example, an effective anti-corruption system requires an anti-corruption authority and other prosecutorial services; oversight – from parliament, the auditor-general, and ombudsman; effective budget controls within each ministry and from the ministry of finance; and clear rules on conflict of interest, tendering and accounting. Thus, each of these areas needs to be reviewed to determine if it has the needed staff, budget, legal powers and independence. The socio-economic section asks a variety of thematic questions as they apply to many sectors. In practice, those who know about the management or affordability of health care will not

necessarily know the issues that pertain to land, water or microfinance. To make it easier to assign questions to the right experts or interest groups, it makes sense to ask for an analysis of each sector using a standard set of questions.

30. **The Questionnaire could benefit from clearer language and definition of terms.** Many questions are quite technical in nature and do not define terms that might be unfamiliar to non-specialists. Simplifying the language or adding definitions would make the Questionnaire more accessible.
31. **Create technical background sections.** The Questionnaire is meant to be accessible to ordinary citizens, but in some cases, the complexity of its language and its requests for technical detail can represent substantial barriers to participation. It would be an improvement if the more technical material were separated from general purpose questions and put under a sub-section labelled 'Technical Background' under each objective.
32. **Research would be simplified if questions and indicators were combined into a single list of questions with one numbering system.** The present structure of themes, objectives, questions and indicators makes research awkward. Research and report writing would be simplified if the thematic distinctions were removed and one consistent numbering system was adopted, from top to bottom. Where indicators are not mandatory but suggestive of the kinds of factors to examine, they should be transformed into a section of guidance that attaches to each question.
33. **Explore one idea per question.** The Questionnaire frequently includes multiple ideas in one question. For example, the first question under Objective 4 in the democracy and political governance section asks: 'What are the constitutional and legislative provisions establishing the separation and balance of powers among the Executive, the Legislature and the Judiciary branches of government?' In practice, the issues affecting the judiciary are quite different from those affecting the legislature and different expertise would be needed for each component of this question. Dividing this question into two would improve ease of use and researchability. It would also make it easier to write the subsequent self-assessment and final country reports.
34. **Use a standardised question format.** In different areas, questions take varied forms. Some questions ask for a list of positive actions taken, while others ask for an assessment of accomplishments and challenges. The Questionnaire would be easier to use if questions, as far as practicable, adopted a more standardised structure that asks participants to do four things: analyse performance in the given area; identify systemic reasons for this performance – gaps in law, resources, technical capacity or constitutional powers; provide supporting evidence; and make recommendations to address any shortcomings.

35. A number of subjects are left out or marginalised in the Questionnaire.

These include media freedoms, traditional rule, land and crime. The Questionnaire focuses on the independence of the judiciary and asks about affordable access to justice but does not ask about the overall criminal justice system, which deserves to be treated as a whole. It should include a look at the police, detective services, prosecution agencies, courts and detention practices. The details of democratic practice are absent and should include discussion of the freedom of assembly, access to the media during elections, voter registration procedures and other key elements affecting the fairness of democracy. The discussion of spheres of government below the national level is inadequate and could benefit from more specific questions.

36. The evaluation of compliance with standards is weak. The Questionnaire asks about the extent to which nations have complied with international codes and standards, but the Questionnaire does not provide guidance on what these codes and standards require. A section of guidance or separate studies to assist countries with this task would strengthen the system.

The Programme of Action

Many of the problems faced by African countries involve complex social, political and economic factors. For solutions to be effective, they need to be well considered and well planned, particularly when they touch on political and democratic practices. Ultimately, the strength of the APRM system rests on the quality of the solutions it brings about. Thus the Programme of Action (POA) deserves much greater attention. Several related approaches can help improve the quality of policy-making that goes into the POA.

37. The Programme of Action should not be left until the end. All the early countries put off development of the POA until late in the process. The process of drafting the self-assessment has taken much longer than the six to nine months originally envisaged. As a result, little time has been left for the POA. That can lead to hasty and ill-considered policy making. Given that good policy is usually not made in a rush, it would be best practice to take steps early in the process to start building the POA. Instead of drafting of the Country Self-Assessment Report first and then searching for solutions, the process should encourage participants to put forward both descriptions of problems and proposed solutions with a view to incorporating them into the POA.

38. Desk research should pull together proposed solutions from all national planning documents and studies. At the beginning, Technical Research Institutions should be given the task of identifying recommendations that have already been articulated in Poverty Reduction Strategy Papers, national development plans, departmental strategic plans, auditor-general's reports, long-term vision documents, and medium-term expenditure frameworks. Gathering recommendations and noting where

each originated and the status of its implementation can help in two ways. It can ensure that the POA does not duplicate solutions already underway. And it will avoid creating a list of actions detached from existing national planning and management processes. Each recommendation should be assessed to determine the extent of its implementation, whether it succeeded in solving the intended problem, and if not, the reasons for its lack of success or full implementation.

39. **The Programme of Action should not ignore complex or hard-to-solve social problems.** The tendency to leave the solutions until the end of the process can result in a POA populated with short-term interventions that are relatively easy to conceive and execute. However, there are some complex, large-scale problems – such as unemployment, corruption and growth strategy – that will require long-term efforts to research and experiment with solutions. The Programme of Action should make provision for establishing national commissions of inquiry to conduct research and seek solutions to such seemingly intractable problems. Countries can learn valuable lessons by conferring with other APRM countries on the challenges involved in drafting a POA.
40. **Separate consultation and validation processes should be dedicated to the Programme of Action.** To ensure that sufficient time is built into the process and the right experts are consulted for solutions, a separate set of workshops and validation meetings should be dedicated to the POA. Workshops need to focus on problem areas much narrower than the four thematic sections of the APRM, looking at smaller, specific clusters of issues. The cross-cutting issues of corruption, gender and local government appear in several of the thematic sections of the APRM Questionnaire. To ensure that they are treated comprehensively, these issues should each be the focus of a separate POA workshop.
41. **Government and parliament should be given ample time to recommend solutions to problems identified in the Country Self-Assessment Report.** To ensure government support and ownership of the resulting recommendations, much more time needs to be dedicated to consultations on the POA. This consultation needs to be organised to allow senior government and political decision-makers to hear the arguments for specific reforms and debate them with civil society.

Research, consultation and report writing

42. **Make best practices research a formal part of the research plan.** The intent of the APRM is partly to encourage countries to study best practices and adopt them. However, so far, countries have not conducted research to discover how other countries handle particular issues. This can be expensive and could not be done for all parts of the Questionnaire, but could provide valuable input on areas of major concern to society. To give this idea substance, countries could commission a series of best practices papers that examine how certain issues are handled elsewhere in Africa and the world. These papers could be discussed in POA workshops and suitable approaches embraced as part of the national POA
43. **Research and consultation should be managed by independent research bodies, not government.** To boost public confidence in the process and ensure that government is not reviewing itself, APRM research, consultation processes and report writing should be managed by independent Technical Research Institutes or competent non-partisan academic bodies.
44. **Technical Research Institutions require time, resources and clear guidelines.** An APRM review can take a year or more, which is a substantial commitment of time for the Technical Research Institutions. They need to be compensated fairly, provided with written contracts, given realistic amounts of time to complete work and allowed free access to the National Governing Council to discuss issues and research plans. For their part, Technical Research Institutions must designate which staff will be available for the duration of the APRM review and guarantee that the staff pledged will not be drawn away to do other consultancy work.
45. **The process requires a mixture of technical and popular consultation methods.** Because of the diversity of subjects in the APRM Questionnaire and the need to cross-check information, the process should use a combination of technical and public consultation methods. Certain questions will require discussion with experts. Problems with complex causes may require dedicated focus group discussions or commissioned research. And many questions of concern to all citizens should be discussed in public meetings as well as citizen surveys.
46. **Research plans should identify the particular forms of expertise needed.** Participants involved in writing APRM reports have noted that it can speed up the research process and produce more effective results if the Questionnaire is broken into smaller clusters of issues. Each cluster could be given out as a desk-research commission to experts and interest groups knowledgeable in the given area. The consultation plan should thus identify the questions and topics that require more specialised expertise from inside and outside of government.
47. **The consultation plan should incorporate a series of inclusive public meetings.** Meetings that are open to the public and advertised in advance

play a key role in signalling the transparency of the process and afford citizens the opportunity to comment. It is important to ensure that such meetings include a balance of stakeholder groups such as those from urban and rural areas, different provinces or districts, and other key dimensions that may be sensitive such as north-south, Christian-Muslim, coastal and inland. To give citizens a fair chance to participate, the date and place of meetings should be announced well in advance. To ensure that all participants have an opportunity to speak and that their views can be effectively captured, meetings should not exceed 100 participants. Notes should be taken along with tape recordings, and sufficient time should be allowed to discuss issues in depth.

48. **Public meetings should be complemented with active forms of outreach.** Public meetings are important politically, but can be an ineffective means of answering the Questionnaire. They should be complemented with a citizen survey, outreach to key constituencies, invitations to make submissions, focus groups discussions, and desk research that brings in the conclusions of studies and reports by key constituencies and experts.
49. **Civil society needs assistance in preparing submissions.** The APRM may offer an opportunity to contribute, but if civil society organisations lack the funding and staff writers to make meaningful written submissions, they will be unable to participate substantively. This is particularly true for rural constituencies who may lack access to the media and find it difficult to travel to the capital. An organised effort to help civil society groups hold workshops and write submissions will build trust and enhance participation.
50. **A citizen survey is crucial to ensure that all regions and demographic groups are fairly represented.** Public meetings are not necessarily representative and are an expensive means of reaching all major regions and groups. A well-planned citizen survey based on a statistically valid sample can ensure that public input is gathered in a structured way that reaches all major ethnic groups, ages and regions. A good survey requires ample time for planning, training of survey administrators, translation of questions into local languages, testing and validation of translations, and analysis of the findings. Kenya and Ghana used household surveys that interviewed heads of households, but the Afrobarometer project noted that some distortions can come from polling mainly older males. This tends to underplay the views of women, youth, single people, the elderly and others. Thus an opinion survey of randomly representative citizens would be preferable to a household survey.
51. **Building consensus requires specific events to foster discussion between civil society and senior government officials.** Because the end product of a national self-assessment is a lengthy report, the process can tend to take on a technocratic aspect, with the report writing delegated to Technical Research Institutes and the National Governing Council.

However, if the process reaches conclusions that government or political figures do not accept, there can be problems when it comes to drafting and implementing a Programme of Action. As a result, consideration should be given to how best to facilitate dialogue between civil society and government. An effective process should take active steps to get top government officials to read through draft reports and engage in discussion of issues, without dominating the conversation. Government must leave space for alternative views to be expressed and dedicate time to absorbing the findings and discussing them internally. One approach would be to ensure that permanent secretaries or other top civil servants attend public meetings and experts workshops and participate in the debates.

52. **Keep a thorough record of the process.** Participants noted that it is important for both the credibility of the process and for the APRM's goal of learning from best practices that the process be well documented. A researcher could be commissioned to follow all of the stages and write a process report, so that other countries could learn from national experiences.

Building trust, managing politics

Government, civil society, parliament and political parties all will have a degree of concern about the APRM process, but they may not all agree on the best way forward. Thus it is very important that the Focal Point and Governing Council take steps to build trust and consensus. The approaches to organisation, research and consultation above provide an important foundation for ensuring a fair process that builds trust. Lessons more specifically focused on building trust and credibility follow.

53. **Trust and credibility are easier to build initially and harder to restore later.** If the process builds up a reservoir of goodwill it can later overcome problems, but if it starts on a negative footing, trust and credibility are much harder to restore once damaged.
54. **Trust must be earned through action.** The public will not trust the process or believe in its credibility simply because government declared it to be fair and transparent. Trust and credibility must be earned, by signalling intent early and following it with concrete steps and transparent actions.
55. **The government and National Governing Council should communicate early, often and candidly.** The APRM is designed to help nations break out of the business-as-usual mode that can grip national planning and budgeting processes, by bringing fresh voices into the national policy conversation. The public will examine early communication around the APRM to determine if it truly signals a fresh start. If it suggests a closed, government-controlled process, distrust can begin to build very early. If, in contrast, government uses public debates to signal that it has not made up its mind, that it is comfortable with civil society leadership

and input, the APRM will be far more likely to achieve these goals. Good public communication cannot be done once, but must be sustained through campaigns in newspapers, magazines, radio and television. Many governments are reluctant to hold a press briefing until they have a definitive policy. But governing the APRM is about debate and compromise. A good way to get the public talking and start getting civil society ready to provide well-formed submissions is to put government, business and civil society representatives on radio or television talk shows that debate the various options for organising and conducting the APRM. This kind of media intervention takes time and planning, but can defuse tensions and establish public buy-in.

56. **Allow civil society to select or nominate its own representatives.** A National Governing Council hand-picked by government will cast doubt on the credibility of the process. To build trust and prevent complaint, civil society should be allowed to choose or nominate its own representatives to the National Governing Council in a transparent process.
57. **Political fears should be addressed candidly.** In the APRM, government will be concerned that civil society, the media or the political opposition might use the process to blame the incumbent administration. Civil society will be concerned that government might try to dominate the APRM and doctor its conclusions. Denying that such anxieties exist will ensure that they fester. The best way to manage them is through candid discussion and confidence-building measures. Government should reassure the public that the process will be open and transparent, that government will consult before naming a governing council, and that all decisions will be taken by the council.
58. **Parliament, the judiciary, the political opposition and quasi-government bodies should be consulted.** One of Ghana's innovations was to consult with all political parties about the proposed APRM structure and the list of NGC members proposed to lead it. By doing this, the government was able to partially allay opposition fears that the process would be used to settle scores, blame the previous administration or to deflect criticism of the incumbent government. Parliaments in all early countries have expressed a desire to be involved in the process, and the parliamentary hearings on the APRM in South Africa helped broaden public discussion. The judiciary and such bodies as the auditor-general, anti-corruption authority, human rights commission and electoral commission should be informed of the process early and be invited to contribute.
59. **Consultation requires time, money and planning.** Speed and trust-building pull in opposite directions. For the APRM to realise its goals of building trust and consensus around solutions to national challenges, governments must communicate intensively with researchers and civil society. This takes time, money and planning to reach all regions and sectors. Citizen surveys and focus groups can be important aids

in ensuring comprehensive consultation, but these require additional planning and funding.

60. **Ask civil society before committing to a process.** In all the early peer review countries, debates have erupted over how the process itself should be governed. Some participants and governments have dismissed arguments about the process as a sign that civil society is quarrelsome and immature by nature. But having a robust, transparent and inclusive debate about process is essential to the APRM's credibility. Without an open conversation about how the APRM should be conducted and governed, public trust in the process will decline. Distrust limits the process's ability to build consensus and break out of the acrimony that characterises politics in many countries. Kenya defused initial complaints and helped build public support for the process by permitting civil society organisations to propose how the process should be governed and to elect their own representatives. This process took time and had its problems, but in a political environment often characterised by distrust, the investment of time helped pre-empt complaints.
61. **Participants should commit to producing the Country Self-Assessment Report and Programme of Action according to published principles.** To reassure both government and civil society, particularly in situations affected by political tensions or distrust, it can be useful for all parties to commit publicly to following a set of principles to guide the process. These could include:
 - **The process should uphold the standards set out in official documents.** The key standards include Article 3 of the APRM Base Document: 'Every review exercise carried out under the authority of the Mechanism must be technically competent, credible and free of political manipulation.' The Supplementary Country Guidelines, note that 'The National Commission established to manage the process at national level should be autonomous from government and inclusive of all key stakeholders.'
 - **Government should agree to consider all recommendations and offer reasons for those rejected.** Many recommendations will come from public testimony, written submissions, desk research and experts. Some may be inappropriate, but should not be dismissed out of hand. Technical Research Institutes should be given the task of cataloguing all recommendations by source, and the National Governing Council and government should release a report offering reasons for the inclusion or exclusion of each recommendation in the Programme of Action. This would enhance credibility that citizen views are being considered.
 - **All assertions in the Country Self-Assessment Report should be backed with solid evidence.** Unfounded statements about problems, solutions or successes should be avoided. Where possible, descriptions

should cite surveys, government reviews, academic analyses and statistical evidence with all information properly footnoted.

- **The Country Self-Assessment Report should credit the positive.** It is important that the report format expressly dedicate space to articulating the positive things that have been done by the incumbent government.
- **The Country Self-Assessment Report should fairly reflect all views.** Not everyone will agree about the nature, extent or even existence of all problems. Where disagreement exists, the report should not try to assert that there is only one view. Forcing opinion into a single consensus position raises suspicions about who chose that position, and what was left out. Allowing major points of view to be reflected in the report indicates reality and builds trust. If government and civil society disagree, let the disagreement be reflected in the text.
- **Writing and editing processes should be done collectively and transparently.** Individuals should not be allowed to edit the text. It should be done in a group. Committing to this practice upfront will reassure participants.
- **Issues should be judged on strength of evidence, not popularity.** The decision about whether to include or exclude an issue from the text should be based on the strength of the evidence backing it, not on how many submissions may have raised it. Particularly on technical issues – such as monetary policy mechanisms or the rules of evidence in legal matters – there may be very few people with the requisite knowledge to identify certain problems.
- **No issue should be removed without discussion at the full National Governing Council.** Some testimony or evidence will focus on localised issues. Some of these may reflect larger, systemic problems. Research institutes should err on the side of inclusiveness and issues should not be deleted or marginalised without discussion before the full National Governing Council.
- **Proceedings of the National Governing Council should be open to the public and the media.** To ensure transparency and fairness, the proceedings of the Council should be open to all parties, and minutes of the meetings and its decisions should be posted on the Internet.
- **The Country Self-Assessment Report and Programme of Action should be publicly validated.** Consultation at the start of the process is not enough. The Country Self-Assessment Report and Programme of Action should be subject to multiple forms of validation, including reviews by sector experts, by public meetings and through distribution of text to civil society constituencies for review and comment. Sufficient time must be allocated to make these validation exercises meaningful and allow for follow-up research.

- **Civil society should be afforded adequate time to read and analyse draft reports before validation meetings.** The process will generate hundreds of pages of analysis. If the texts are not distributed in advance of validation meetings, it is not possible for civil society to comment meaningfully or endorse the wording.
- **All key documents and drafts should be posted on the Internet.** Technical Research Institutes will produce many documents in the process that should be part of the public record. These include the reports on the four thematic areas of the APRM, written submissions from civil society organisations, reports by commissioned researchers, notes and transcripts of focus group discussions and public conferences, compilations of survey data, submissions from government agencies and lists of suggestions and recommendations for the draft Programme of Action. In addition, there will be many administrative documents relating to decisions taken about the process itself, such as research plans, meeting minutes, survey forms, invitations to conferences, lists of participants, press releases, decisions of the governing council, and research contracts, among others. All of these texts should be publicly available on the Internet so that all participants can examine the testimony and the process. Making such records available on the Internet eases the research effort by the continental Secretariat and the Country Review Team. It will also help upcoming countries with ideas and resource documents to modify and improve upon.
- **Where problems are noted, the process should allow time for concerned parties to comment and clarify.** Often, citizen surveys and written submissions will note a problem but not have enough information to understand the full picture or craft solutions. Therefore, sufficient time should be allocated to Technical Research Institutes to conduct follow-up interviews with the relevant government departments to ensure that the final text reflects an accurate picture. This can take weeks or months, depending on the manpower available in each Technical Research Institution.
- **The National Governing Council should provide regular updates and press briefings.** As many parties may not be able to attend all meetings and the public will be eager to track progress, the council should undertake to provide weekly updates through the Internet, e-mails to a database of civil society organisations and press briefings.

The keys to civil society influence

The lessons above apply to the overall management of the APRM process and particularly to the choices that governments, Focal Points and National Governing Councils must make. However, civil society has different choices.

It cannot set the rules, but it can influence how the process is conducted and what conclusions are embraced by the APRM.

62. **Civil society should study the APRM rules and Questionnaire.** Civil society has a right to participate in the APRM, but making the most of that opportunity requires that citizens have a firm grasp of the process and the lessons learnt in the pioneer countries. They need to understand where the rules are clear, where decisions require negotiation and compromise and how to influence the decisions of the National Governing Council, government, Country Review Team and other participants. They also need to understand the Questionnaire and research methods so they know what to ask for when APRM preparations are underway.
63. **Success in the APRM depends on effective strategies for influence.** The APRM is about building consensus behind the need for specific changes. Civil society cannot force its views on other participants, but must find ways to persuade and influence other civil society groups, parliament, the National Governing Council, the Technical Research Institutes, the Country Review Team, and the government, which ultimately must accept the problems as defined in the report and implement its recommendations. Effective influence requires staying engaged throughout the process, talking to many groups and using both public and private forms of persuasion.
64. **Signal interest through the press and direct contact.** Signalling civil society's knowledge and intentions is important in the early phases of national preparation. Sending clear signals to government can change the course of the process, through opinion articles in newspapers as well as personal contact. Civil society should demonstrate that it is informed about the rules, has clear expectations that the process should be transparent and civil-society led, and that civil society intends to play an active role. This combination of personal contact and use of the media can be useful throughout the process to demonstrate that civil society continues to monitor and engage with the process and will expect it to meet the highest standards.
65. **Reach out to parliament.** Parliament is an important political force and is often neglected in the APRM. It can be an important civil society ally. It can convene public hearings on the APRM and can provide valuable committee reports that can help civil society prepare persuasive, evidence-based written arguments.
66. **Build coalitions within civil society.** No one organisation, no matter how prominent, can influence the APRM alone. Civil society organisations have much more political impact if they co-operate to build a coalition of organisations. They can prepare joint written submissions endorsed by many groups. They can exchange information and use personal contacts to find out what is happening with the process and what is coming. They can work together to increase the number of opinion and news articles

on the APRM in the media. And they can apply persuasion and pressure on government and the National Governing Council to change plans or improve certain aspects of the research or validation programme.

67. **Build personal relationships with key participants.** Relationships with government and APRM structures are just as important as relationships within civil society. Because of the anxieties that can accompany the process, such relationships must be built on trust, fair play and personal relationships. To do that effectively, civil society should try to maintain personal contact with the relevant people in government, Technical Research Institutions, the National Governing Council, the staff of the national Secretariat, the staff of the continental APRM Secretariat, the member of the Panel of Eminent Persons managing the country's review, members of the Country Review Team, the media, parliament, other civil society groups and influential business and quasi-government organisations, such as anti-corruption, human rights or electoral commissions.
68. **Make written submissions.** Making oral input at public APRM meetings has limited value as it may or may not influence the final report and POA. A thoughtful written submission from civil society, even if focused on only a limited number of important areas, can be highly persuasive. Once prepared, it can be presented to the National Governing Council, Technical Research Institutions, continental Secretariat and to the Country Review Team. Having arguments set out in writing and backed up by solid evidence and recommendations makes the job of these groups much easier. As a result, preparing a written submission is one of the most influential steps civil society can take.
69. **Start compiling recommendations early.** Getting recommendations into the POA should be the ultimate goal of civil society because those are the actions government will be expected to carry out and which can bring positive change. Knowing that the POA tends to be left until the end can be an advantage for a well-prepared civil society. To take advantage of this, civil society should start researching and writing down its thoughts on policy recommendations from the beginning. In many cases, solutions have already been endorsed through national development plans and various research reports but they often have not been fully implemented because of lack of funds or waning political commitment. Where civil society believes in a given solution that has already been endorsed by other plans or research, their submissions should cite that research.
70. **Stay engaged throughout the process.** The APRM process is long and can be draining on the time and resources of civil society organisations, particularly those chosen to sit on the National Governing Council. Lending support to one another and the council, in terms of research or assistance in reviewing draft texts, can be very helpful. Remaining engaged until the end can prevent key issues from getting lost and can provide civil society with the information it needs to monitor government's implementation of the Programme of Action.

- 71. Influence the Country Review Team and Panel.** The final goal of influence is what the final Country Review Report says, the recommendations it makes to government and thus the action items that go into the Programme of Action. The experts on the Country Review Team consider the Country Self-Assessment Report and draft Programme of Action but they will go deeper into neglected areas and can make recommendations for other remedies to be included in the final POA. This can be a daunting task, given that they have only a few weeks in country and governments generally have been allowed to set the agenda for the Country Review Team visit. However, this is an opportunity for civil society to get any ideas that it feels were neglected in the self-assessment phase into the final report. The Country Review Team will not always have had much preparation time before arriving in-country. They are conscientious and will particularly appreciate discussions, reports or written submissions offered by civil society. It can be valuable to find out who is on the team, their intended schedule and which hotels they will stay in. Attend the public meetings they convene and meet them privately to provide other information and documents that can assist in their research. If there is time for nothing else, CSOs can still make a big impact by providing the team with a set of key reports and plans, such as surveys, citizen report cards, position papers on key issues, national development reports, and reports of the parliamentary public accounts committee and auditor-general. Marking the important passages or conclusions with paper clips can make their job much easier and direct their attention critical issues.

Improving continental processes

- 72. The Panel should revise the official process rules.** The various official documents should be consolidated into a single new text that removes the ambiguities that presently exist on the role of the Focal Point, National Governing Council, support secretariat and research institutes. The guidelines also should clarify the processes for developing the final Programme of Action. It should clearly state that new guidelines supersede previous versions. Clearer, published rules would give both governments and civil society a better framework within which to work. While the APRM documents note that the process should have substantial public input, there are few specifics about how that should occur. The rules are left flexible and open to substantially different interpretations. Instead of offering the rules through private consultations that can be ignored, the Secretariat should publish clear, updated rules on what is expected and the processes and procedures needed. This would help remove misunderstandings and avoid the need to change the plans of countries that misinterpret the guidelines. Too much flexibility will ultimately weaken the credibility of the APRM.

73. **The Secretariat should offer clear advice on the Programme of Action format and expected levels of detail.** The early countries have struggled to write their Programmes of Action and have noted that the Secretariat should provide clear written guidance and in-person assistance. Countries have asked whether the POA should include all needed actions or only wholly new ideas not already in national plans. They have asked how the POA should be costed and they have questioned the utility of the present matrix or tabular format, which does not permit sufficient room for a proper explanation of POA items. Some participants have noted that the POA should include a master table, each line of which is backed up by a separate document describing the POA items in detail.
74. **The Secretariat should clarify the rules on public consultation over the final Programme of Action created in response to recommendations from the final country report.** Each country submits a draft POA before the experts in the Country Review Mission do their work. The Panel of Eminent Persons, in conjunction with the Country Review Mission and continental Secretariat, writes the final Country Review Report, which includes recommendations that the country is expected to respond to in a final Programme of Action. In some cases, the recommendations can be very far reaching, including fundamental aspects of democratic practice. But governments maintain they are not obliged to consult with the public on how they should respond to the recommendations. In the Memorandum of Understanding that countries sign in acceding to the APRM, they are required to consult on the POA, but some participants have maintained that other clauses demanding confidentiality take precedence over the need to consult.
75. **The Secretariat should offer clear guidance to both civil society and government.** Early countries have noted that the quantity and quality of advice offered is inadequate. At present, the Secretariat issues guidance principally through advance missions and Country Support Missions, but these have concentrated on governments and left the public uninformed about its rights and roles in the process. The base document asserts that the Country Support Mission is intended to educate participants on the process, but supplementary guidance issued by the Secretariat insists that countries have all processes, institutions and budgets in place before the Country Support Mission arrives. Several conferences reviewing the APRM have called for a document to explain research methods. Participants in particular have asked for advice on the practical matters of consultation, planning, budgeting, report writing, surveys, POA and monitoring and evaluation of progress.
76. **The Secretariat should clarify country responsibility for funding.** Each nation is required to pay a membership fee to the continental Secretariat (currently \$100,000 per country annually), but some have expressed the belief that this fee is to fund their own national reviews. It is actually intended to support the costs of the Secretariat. Notably, countries are

obliged to fund their own national processes and the in-country costs of the Country Review Mission.

77. **Country Self-Assessment Reports and draft Programmes of Action should be released publicly after completion.** The public has a right to participate in the APRM process and selected citizens are involved in validation and editing of these documents. But governments maintain that they are not allowed to release the Country Self-Assessment Report and Programme of Action to the wider public once they have been submitted to the Panel of Eminent Persons. Given that the public has been involved in the drafting of these documents which are already, in theory, public, there seems no reason to restrict their release. Restrictions block public accountability and undercut the ability of the public and the media to sustain the political momentum behind APRM reforms. They also increase suspicion that government may be ‘cooking the books.’
78. **The final APRM reports should be released immediately after consideration by heads of state.** The APRM rules assert that the final APRM reports can be released only six months after they are presented to heads of state. However, this time lag and the delay in scheduling the heads of state review undercuts the momentum and transparency of the process. In some cases, this procedure has resulted in documents becoming public one to two years after public consultations were completed.
79. **The Panel of Eminent Persons and continental Secretariat need more capacity.** The APRM system produced only five complete reviews by July 2007. At the present pace, it will take 15 years for all 27 countries that have signed up so far to get through their first review. More countries may join the APRM. But the system pledged to review each country every two to four years. Unless the pace of reviews is dramatically accelerated, the system will lose public credibility and it will fail to make the impact on the continent that its creators had hoped for. Many of the lessons above, if addressed, would accelerate the pace of reviews. But it is clear that both the Panel of Eminent Persons and the continental APRM Secretariat require more capacity to supervise reviews, conduct background research, and assist countries in preparing for the process. At the time this book was completed, there were plans being discussed to expand the number of Eminent Persons, which would permit more reviews to be conducted in parallel.
80. **Fiscal management issues need transparency.** The management of the APRM Trust funds should be according to the highest standards of fiscal transparency that the APRM embraces in international governance standards. Lack of regular financial reports to the public on the APRM Trust Fund has resulted in some concern from participating countries and development partners.

RECOMMENDED READING

Many of the following can be found on the attached APRM Toolkit CD-ROM or SAIIA's website, www.saiia.org.za.

APRM Country Review Reports

Country reports and official documents can be found at www.nepad.org/aprm

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