



Economic
Commission for
Africa

Guidelines for Enhancing Coordination of RCM Cluster and Sub-cluster Activities

A Compilation of Programming
Tools for Better Results



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I. Introduction

Over the years, annual sessions of the Regional Coordination Mechanism for UN system support to the African Union and its NEPAD programme (RCM-Africa) have made several recommendations to improve the functioning and impact of the mechanism. These recommendations include the following, among others:

- The Mechanism should be more results oriented;
- Thematic clusters and sub-clusters should focus more on developing and implementing joint programmes;
- Reporting by the Secretariat and clusters should focus on the results achieved through the implementation of joint activities;
- Crosscutting issues such as gender, environment, governance, among others, should be mainstreamed in the work of all clusters;
- Developing a work programme for the implementation of the Ten-Year Capacity Building Programme for the African Union (AU); and
- Improving inter-cluster coherence and coordination.

In response to the above recommendations, RCM-Africa Secretariat, clusters and sub-clusters have taken various actions to improve their performance in terms of coherence and coordination of UN system support to AUC, NPCA, and RECs. This has mainly involved the development of guidelines to support the work of clusters. For instance, the Secretariat has developed a guide to Results-Based Management (RBM) for RCM-Africa including templates for performance monitoring plans, results-based reporting, and programme implementation plans. It has also produced guidelines and/or templates for developing cluster business plans; capacity building work programme in the context of TYCBP-AU; and cluster reporting in general.

It is envisaged that the use of RBM by clusters will improve the accountability of their members, both individually and collectively. It is also envisaged that it will improve the performance of clusters. In this regard, the monitoring, evaluation and reporting components of RBM would enable lessons learnt from past experiences to feed into the planning process. Consistency in the structure of reports from all clusters will facilitate analysis of the content and preparation of annual RCM-Africa reports by the Secretariat. This provides the rationale for developing reporting guidelines for clusters.

A Business Plans is an important tool for building partnerships and mobilizing resources. In addition, it is a useful tool for joint programming, which is essential for enhancing both inter and intra-cluster coherence and coordination. Generally, various approaches are being used by different organizations to develop business plans hence there is a need for guidelines to ensure consistency in the plans developed by all clusters.

It has always been a challenge to address crosscutting issues within organizations or in

the work of coordination mechanisms such as RCM-Africa. The need for guidelines to assist clusters in this regard can therefore not be overemphasized. An option for addressing crosscutting issues is to have separate clusters or sub-clusters dealing with them. Another option is to mainstream crosscutting issues in the work of all clusters. RCM-Africa has adopted a twin-approach whereby crosscutting issues belong to specific clusters or sub-clusters (for example Gender and Development is a sub-cluster of the Social and Human Development Cluster), while at the same time they are mainstreamed in the work of other clusters. Guidelines are therefore essential for effective mainstreaming of crosscutting issues.

Section II of this document presents guidelines for Results-Based Management for RCM-Africa; and a compilation of guidelines for mainstreaming various crosscutting issues prepared by different clusters or sub-clusters, as indicated in Table 1. Section II also presents guidelines or templates for developing business plans; TYCBP work programme; programme implementation plans; and cluster reports.

Table 1: Guidelines for Mainstreaming Crosscutting Issues in RCM-Africa Clusters

Cluster/Sub-Cluster	Guidelines
Governance Cluster	Mainstreaming Governance in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa
Health, HIV/AIDS, Malaria, TB and other infectious Diseases Sub-Cluster	Mainstreaming Health in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa
Environment, Population and Urbanization Cluster	Mainstreaming Climate Change in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa
Peace and Security Cluster	Mainstreaming Human Rights in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa
Labour and Employment Sub-Cluster	Mainstreaming Employment and Decent Work in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa
Gender and Development Sub-Cluster	Mainstreaming Gender Equality in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa

II. Guidelines

A. Results-based Management

A Guide to Results-Based Management for RCM-Africa

1. Introduction

The objective of this manual is to assist the Secretariat, clusters, and sub-clusters of the Regional Coordination Mechanism for Africa (RCM-Africa) in reporting credibly on the results of their activities. It provides simple guidelines for articulating realistic objectives and expected accomplishments as well as for using performance indicators in monitoring the extent to which these objectives and expected accomplishments are met.

The rationale for this manual stems from the continued difficulties encountered by RCM-Africa Secretariat, clusters, and sub-clusters to report beyond activities undertaken and demonstrate concrete results of their interventions. This challenge has been observed at various RCM-Africa sessions, including the 11th session held at the Headquarters of the Economic Commission for Africa (ECA) in November 2011, which urged members of the Mechanism to focus on a limited number of activities and place more attention on results.

The minimum requirement for any organization to report on results in a credible manner is the existence of a well articulated results framework comprised of clearly defined: (i) objectives; (ii) expected accomplishments; (iii) performance indicators; and (iv) activities. These are in essence the key elements of Results-Based Management (RBM) and provide the linkages between the activities of an organization and its results. The results framework is vital for accountability and in demonstrating the difference made by an organization to its beneficiaries.

The level to which RBM has been embraced by different RCM-Africa members has depended on the extent to which they are held accountable for results by their governing bodies and the availability of RBM skills, among other factors. Moreover, while different members of the Mechanism may have organizational units or skilled staff members responsible for driving the RBM process internally, such expertise may not be readily available for use by RCM-Africa Secretariat, clusters, and sub-clusters. This manual aims to address the above challenges by providing simple programming guidelines for RCM-Africa Secretariat, clusters and sub-clusters.

Section 2 of the manual focuses on how to set objectives and provides guiding principles for RCM-Africa Secretariat and clusters in that regard; Section 3 proposes generic expected accomplishments that could be tailored to the realities of different clusters and sub-clusters; Section 4 presents possible performance indicators to track progress towards stated results; Section 5 examines the selection of appropriate activities; Section 6 presents

the key elements of a performance monitoring plan, Section 7 deals with results based reporting; and Section 8 concludes the manual.

2. Setting Objectives

Guiding Principles

For optimal effectiveness, the objectives of RCM-Africa Secretariat, clusters, and sub-clusters should be linked to the rationale for establishing RCM-Africa; existing frameworks for UN support to the African Union (AU) such as the Ten-Year Capacity Building Programme for the AU (TYCBP-AU); and the priorities of AUC, its NEPAD programme, and the Regional Economic Communities (RECs).

First, the objective of RCM-Africa is to enhance UN system-wide coherence, coordination and cooperation at the regional and sub-regional levels to ‘deliver as one’ in support of the AU and its NEPAD programme. The *raison-d’être* of the Secretariat, clusters, and sub-clusters is therefore to support the achievement of this objective.

Second, the UN Secretary-General and the Chairperson of AU signed the Declaration on Enhancing UN-AU Cooperation: Framework for the Ten-Year Capacity Building Programme for the AU (TYCBP-AU) in 2006, with the objective to enhance the capacity of the AUC and African sub-regional organizations to act as effective UN partners in addressing Africa’s challenges. RCM-Africa provides a platform for achieving this objective. Indeed various sessions of the Mechanism have endorsed this role, and called on the Secretariat to take the lead in that regard. Therefore capacity building of AUC, NEPAD Agency, and RECs should be a key objective of the Secretariat, clusters and sub-clusters.

Third, AUC, NEPAD Planning and Coordinating Agency (NEPAD Agency), and RECs have identified their priority areas of work which should guide the kind of support they receive from UN system agencies and organizations. These priorities have been articulated in the strategic plans of the organizations, and progress towards their achievement should be a key objective of coordinating UN system support to AU and its NEPAD Programme as well as capacity building efforts.

Recommended Objective Statements

Generally, the objective of each cluster and sub-cluster should refer to an overall desired achievement involving a process of change and aimed at meeting certain needs of identified end-users. In other words, the objective should reflect the *raison d’être* of the cluster/sub-cluster. The text should seek to answer the following questions: Why does the cluster/sub-cluster exist? What problems are being addressed by the cluster/sub-cluster? Who are the beneficiaries of the cluster/sub-cluster?

In light of the above definition and the guiding principles discussed earlier, possible objective statements for RCM-Africa clusters and sub-clusters are as follows:

- To enhance UN system-wide coherence, coordination and cooperation in (specify the thematic area of the cluster, for example Peace and Security) at the regional and sub-regional levels to ‘deliver as one’ in support of the AU and its NEPAD programme;
- To enhance the capacity of the AUC, NPCA, and African sub-regional organizations to act as effective UN partners in addressing Africa’s challenges in relation to (specify the thematic area of the cluster, for example Infrastructure development); and
- To accelerate the achievement of the goals of AU and its NEPAD Programme, as well as the RECs in the area of (specify the thematic area of the cluster, for example Science and Technology)

3. Setting Expected Accomplishments

The expected accomplishments, also referred to as outcomes and outputs by some organizations (box 1), must lead to the achievement of RCM-Africa objectives. They should articulate what should happen in order to meet the objectives of the Mechanism. Expected Accomplishments are changes that occur because of the Secretariat, cluster’s/sub-cluster’s interventions and:

- Are the direct consequence or effect of the generation of outputs and services within a specific period;
- Should reflect a positive change for the end-users/beneficiaries of the Secretariat, cluster’s/sub-cluster’s outputs; and
- Are at a lower level than objectives

The expected accomplishments should therefore determine the type of activities undertaken by the Secretariat, clusters, and sub-clusters. Based on past practice, the activities reported by the Secretariat, clusters, and sub-clusters could be grouped into the following broad categories: (i) coordination meetings; (ii) capacity building of AUC/NEPAD Agency/RECs; and (iii) direct support for the implementation of AUC/NEPAD Agency/RECs activities with little or no potential for capacity building. Funding the services of a consultant to undertake a specific task for any of the beneficiaries falls into the third category. The second and third categories are either implemented jointly – at least two UN agencies or organizations provide inputs to the activity, or by individual agencies or organizations. It is likely that activities will continue under these three categories, although there are increasing calls for more attention to be placed on jointly implemented activities with capacity building components (see Section 5 for further discussion on activities).

In line with the above categories, expected accomplishments could be formulated to reflect:

- Improved Coordination of (Secretariat/cluster/sub-cluster/inter-cluster) activities;
- Improved AUC/NEPAD Agency/RECs capability to deliver on their priorities (specific to the themes of clusters/sub-cluster); and

- Increased direct contribution of UN system agencies and organization (cluster/sub-cluster) to delivery of AUC/NEPAD Agency/RECs programmed activities.

Box 1 Hierarchy of Results: What level of Results should RCM-Africa aim to Achieve?

Concerns about inadequate reporting of tangible results by RCM-Africa are often in relation to lack of linkages between activities undertaken in the framework of the Mechanism and changes in African countries such as improvements in physical infrastructure, poverty reduction, and creation of employment, among others. While these changes are desirable, it is important to point out that there is a chain of events as well as a time lag, involving several actors and beneficiaries, between an intervention at the level of RCM-Africa and the desired impact on the local population of an African country.

Some organizations categorise accomplishments into outputs and outcomes to facilitate the attribution of responsibility for results achieved. In this regard, outputs are immediate changes observed in beneficiaries as a result of specific interventions. This may be an appropriate target for RCM-Africa especially as yearly progress reports are presented to annual sessions of the Mechanism. Outcomes happen some time after an intervention and are attributed, in most cases only partially, to the changes caused by the intervention. For instance, while building the capacity to develop regional programmes such as the Programme for Infrastructure Development in Africa (PIDA) may be an output, mainstreaming such programmes into national plans require additional interventions – sometimes by other actors, would take more time and would be considered an outcome. It would be difficult for RCM-Africa to report on outcomes a year or less after an intervention. It would even be more difficult to report on impacts such as welfare gains in local population at country level.

A recommended approach to deal with this hierarchy of results (outputs, outcomes, and impacts), especially if reporting is done on an annual basis, would be to focus on outputs where there are direct linkages between interventions and changes in beneficiaries, and report on outcomes and impacts as they occur – on a rolling basis. In this context, clusters and sub-clusters could have a mixture of outputs and outcomes under their expected accomplishments, with the understanding that they would be expected to report on the progress in achieving outputs in the short-term and outcomes and impacts in the long-term or as they occur.

4. Setting Performance Indicators

Performance indicators, also referred to as indicators of achievement measure whether and/or the extent to which expected accomplishments have been achieved as a result of specific interventions (e.g. of clusters or sub-clusters). Good indicators are measurable, telling the kind of data that need to be collected. The data so selected will then set the stage for determining baselines and targets (the performance measures). It is good practice to have more than one indicator for each expected accomplishment.

Once the data to be collected is decided, then the performance measures (i.e. baselines and targets) can be determined. If we are focusing, for example, on the number of political analysts recruited and trained by AUC, we would need to collect data on the number of recruited and trained staff. For our performance measure, we would then need to know how many trained staff members were there in, for example 2010, what our estimate is for 2011

and what our target would be for 2012, as a result of cluster/sub-cluster intervention.

Essentially, performance indicators show us that the expected accomplishments have indeed occurred. They measure the results of our efforts. For the clusters and sub-clusters, this could be in terms of:

- Number of joint programmes (a measure of coherence and coordination);
- Increase delivery of AUC/NEPAD Agency/RECs programmes by themselves (measure of enhanced capacity);
- Availability of better systems/processes (a measure of capacity); and
- Increased AUC/NEPAD Agency/RECs programmed activities directly and jointly implemented by UN system (a measure of coherence and coordination)

5. Selecting Appropriate Activities

It is critical to select and implement activities that have direct bearing on the achievement of stated expected accomplishments. For instance, the following generic activities would be good if the expected accomplishment is to improve capacity:

- Developing/upgrading of systems and meeting related training needs, to improve the quality of and efficiency in providing services; and
- Providing training and advisory services, to improve understanding on priority issues.

Other good examples of capacity building activities drawn from the report of the UN Secretary General on the review of the TYCBP-AU are presented below, grouped under the implementing agency or organization and clusters.

Department of Political Affairs

- Supporting the creation and management of a database system for the Democracy and Electoral Assistance Unit of AUC and the development of a roster of African electoral observers and experts;
- Conducting courses at both the AUC and regional levels for carefully selected potential mission leaders (civilian, military and police) who could be deployed in AU-mandated peace support operation; and translation of the training material for the senior mission leaders course into the working languages of the AU;
- Conducting UN courses at training centres of excellence accredited by AU;
- Sharing of UN experience and knowledge related to operations at logistics and support bases. In that regard, organize study tours of the UN Logistics Base; and
- Supporting creation of a roster of African mediators and experts, and the development of AU-UN mediation partnership guidelines on the basis

of lessons learned from joint mediation efforts in Gunea-Bissau, Kenya, Somalia and Darfur;

United Nations Development Programme (UNDP)

- Funding the recruitment and training of the political analysts currently staffing the Peace and Security Directorate of the AUC (Building the Capacity of the AUC Peace and Security Directorate); and
- Providing resources required to meet the staffing needs of the African Peer Review Mechanism (APRM) Secretariat and the activities of the Panel of Eminent Persons.

Office for the Coordination of Humanitarian Affairs

- Building AU and RECs capacity for disaster response by training emergency response teams, which have been deployed in response to disasters in West Africa;
- Broaden the source of support and emergency response for humanitarian and post-conflict recovery activities in Africa through the consolidated appeals process and the Central Emergency Response Fund; and
- Providing awareness training on humanitarian principles, as part of the training for the African Standby Force.

Governance Cluster

- Providing database of experts to help in undertaking APRM reviews.

Peace and Security Cluster

- Providing training through attachment programmes and the organization of workshops; providing technical assistance personnel; material and financial assistance; and helping to develop and strengthen information and communication systems.

6. Performance Monitoring Plan

Performance monitoring plans are critical monitoring and evaluation tools and are indispensable for effective results based reporting. A typical performance monitoring plan is presented in the form of a matrix and contains the key elements of a logical framework, including, the impact statement, expected accomplishments, and performance indicators. In addition, information on data sources, collection methods and frequency, as well as assignment of responsibilities for data collection and analysis are important elements of the performance monitoring plan.

In the context of RCM-Africa, responsibility for collecting data relevant to performance measures should ideally be shared between the clusters/sub-clusters on the one hand and AUC/NPCA/RECs on the other. This is because the beneficiaries of UN system support are best placed to provide information related to positive changes resulting from such support.

In principle, implementing a performance monitoring plan appears to be simple and straight forward. However, experience shows that this is rarely done in a satisfactory manner. The poor or non-implementation of performance monitoring plans could be explained by a number of factors. First, there is generally a lack of ownership of existing monitoring plans because of the non-participatory way in which they were developed. Second, the vagueness of some performance indicators renders them difficult to measure. Third, many organizations do not allocate sufficient resources for data collection in relation to performance monitoring.

It is therefore important for clusters/sub-clusters to involve all members in developing their performance monitoring plans; develop simple and unambiguous performance indicators; and allocated adequate resources for data collection. A template for preparing a performance monitoring plan is provided in annex 1.

7. Results Based Reporting

Preparing the progress report on RCM-Africa and presenting it at the annual sessions of the Mechanism is one of the functions of the Secretariat. The report usually contains activities, achievements and challenges of the Secretariat, clusters, and sub-clusters. Inputs from the clusters, through cluster reports, feed into the progress report. The Secretariat has proposed a standard format for presenting cluster reports with the view to facilitating the analysis and synthesis of their contents for inclusion in the progress report.

The clusters have generally followed the proposed structure in preparing their reports, hence most of these reports contain the following sections: accountability; coordination/collaboration; resources and capacity building support provided by the cluster; monitoring and evaluation of activities; communication/outreach/advocacy; results and impacts; challenges and constraints; lessons learned and way forward. However, the appropriateness and quality of the content under each of these sections have varied across cluster reports. In particular, concerns have been raised at RCM-Africa sessions about the inadequacy of reporting on results. There are two main issues in that context. First, most of the activities reported by clusters were implemented by members on an individual basis – bilateral arrangement with beneficiaries - rather than collectively. Second, there is little attempt to link activities undertaken with results achieved, thus making it difficult to demonstrate the difference made by these activities to the beneficiaries.

Challenges related to reporting on results could be attributed, in part, to the absence of clearly articulated results frameworks (logical frameworks) for many of the clusters. To address this challenge, some clusters have taken the positive step of developing business plans. These plans, essentially, include the following elements for priority area; objectives; expected outcomes; expected outputs; indicators of achievement; key joint programmes/

projects; relevant AU/NEPAD and UN instruments, strategies and policy documents; lead and collaborating agencies; timeframes; and resource requirements.

These business plans provide a solid basis for effective reporting on results, provided they are properly monitored using tools such as performance monitoring plans discussed in Section 6. Clusters could strengthen the value of their reports by including the table provided in annex 2, which is designed to show linkages between activities undertaken and results achieved.

8. Conclusions and Recommendations

RCM-Africa Secretariat, clusters and sub-clusters have to develop logical frameworks linking their activities to expected results. Where such frameworks already exist, for instance for clusters that have business plans, efforts should be made to strengthen the linkages between activities and results. Efforts also have to be made to develop performance monitoring plans, which are indispensable for credible results-based reporting.

It is recommended that RCM-Africa Secretariat, clusters and sub-clusters should focus on reporting the achievement of outputs where there are direct linkages between interventions and changes in beneficiaries, and report on outcomes and impacts (longer term results that also depend on interventions of other actors) as they occur – on a rolling basis. In this context, clusters and sub-clusters should have a mixture of outputs and outcomes under their expected accomplishments.

Annex 1: Template for Preparing Performance Monitoring Plan

	Results	Performance Indicator	Data Sources	Collection Methods	Collection Frequency	Responsible
Impact	Improved ECM-Africa Resources	Increased funds used for RCM-Africa activities	RCM-Africa progress report	Document review	Yearly	RCM-Africa Secretariat
	Improved performance of AU and its NEPAD Programme	Increased % delivery of programmed activities of AUC/NPCA/RECs	Cluster Coordinators	Interviews with Secretariat and cluster Coordinators		
Outcomes	Improved performance of RCM-Africa	Increased number of concrete results reported that are linked to RCM-Africa activities	RCM-Africa progress report	Review of cluster reports	Baseline data	RCM-Africa Secretariat
			Cluster reports	Review of progress report	Continuous	
Outputs	Enhanced skills in Results-Based Management of RCM-Africa clusters	Number of clusters that have developed logical frameworks	Cluster reports	Review of cluster reports	Baseline data Continuous	RCM-Africa cluster focal points

Annex 2: Template for Results-Based Reporting

Expected Results	Activities Planned and Performed	Achieved Results	Variance
Outputs			
1. Increased AU and RECs capacity for disaster/emergency response for humanitarian and post conflict recovery activities	Training AU and RECs emergency response teams	Emergency response team deployed in response to disasters in West Africa	

B. Mainstreaming Governance

Mainstreaming Governance in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa

1. Introduction

This guidance note has been developed by the Governance Cluster of the Regional Coordination Mechanism (RCM) which is co-chaired by the Department of Political Affairs of the African Union Commission (DPA/AUC) and the United Nations Development Programme (UNDP). The note introduces governance as a cross-cutting issue that requires deliberate efforts at mainstreaming as clusters and sub-clusters of the RCM discharge their mandate of enhancing institutional capacity of the African Union, its NEPAD programme and the Regional Economic Communities. The vision of the African Union as clearly articulated in its Strategic Plan (2009-2012) is an integrated, prosperous and peaceful Africa, driven by its own citizens and representing a dynamic force in the global arena. This vision is to be pursued through four main strategic interventions all aimed at advancing Africa's development, unity and integration. These are pillar 1: peace and security; pillar 2: integration, development and cooperation; pillar 3: shared values; and pillar 4: institution and capacity building.

The 10th Session of the Regional Coordinating Mechanism (RCM) of UN Agencies and Organizations working in Africa in support of the African Union, its NEPAD Programme and the Regional Economic Communities that took place in November 2009, recommended, *inter alia*, that the RCM should mainstream into its cluster system, among others, Governance, taking into account the AU vision and strategic objectives highlighted above. In this regard, the Governance Cluster would like to share ideas on how best to implement such mainstreaming.

As RCM clusters and sub-clusters cooperate with the AU, its NEPAD programme and the Regional Economic Communities in their specific focus areas, it is imperative that they take into account cross-cutting issues. One of these is governance. This guidance note attempts to demonstrate how such mainstreaming could be implemented within the cluster system.

It provides a practical guide as to how RCM clusters and sub-clusters could go about mainstreaming governance in their work. It is divided into six sections. Section 2 below provides the contextual background to the RCM and UN-AU cooperation to date. Section 3 provides the rationale for mainstreaming governance. Section 4 provides a glossary of terms relevant to governance and its mainstreaming within the RCM cluster system. Section 5 highlights three African Governance Monitoring initiatives which clusters are encouraged to know and understand fully if governance mainstreaming is to bear fruit. Section 6 introduces two governance assessment tools as a guide to RCM clusters and sub-clusters in their efforts to mainstream governance in their work. These are the governance

risk assessment and anti-corruption measures. At the end of the guide note is a check list that clusters and sub-clusters could use in assessing governance risks of their programmes in support of AU, its NEPAD programme and the Regional Economic Communities.

2. Contextual Background

Although Africa has registered modest progress in its development efforts, including governance, over the past fifties years of independence, enormous challenges still remain. Largely with a view to address the existing governance and development challenges, there has been a tremendous international attention given to Africa over the years. Part of this international attention has included expansion of programmes by the United Nations (UN) in support of governance and development initiatives on the continent. The United Nations has demonstrated commitment in support of democracy and development in Africa through successive system-wide initiatives. These include, inter alia, the 1986-1990 United Nations Programme of Action for African Economic Recovery and Development (UN-PAAERD), the United Nations New Agenda for Development of Africa of 1991-2000 (UN-NADAF), the United Nations system-wide Special Initiative for Africa (SIA) of 1996-2005) and the Ten-Year Capacity Building Programme (TYCBP) for the AU signed between the AUC and UN in 2006 for the period 2006-2016.

In 2001, the New Partnership for Africa's Development (NEPAD) was launched and officially adopted as Africa's development vision by the Summit of Heads of State and Government of the Organization of African Unity (OAU), the predecessor to the African Union (AU). NEPAD has earned itself considerable international recognition and support since its inception. It is considered globally as an appropriate framework for effective support for redressing Africa's myriad development and governance challenges for a variety of reasons, chief among which are its principles. Principally, NEPAD's noble principles include:

- Good governance as a basic requirement for peace, security and sustainable political and socio-economic development;
- African ownership and leadership, as well as broad and deep participation by all sectors of society;
- Anchoring the development of Africa on its resources and resourcefulness of its people;
- Acceleration of regional and continental integration;
- Building the competitiveness of African countries and the continent;
- Forging a new international partnership that changes the unequal relationship between Africa and the developed world; and
- Ensuring that all partnerships with NEPAD are linked to the Millennium Development Goals and other agreed goals and targets.

The four main priority areas of NEPAD are (a) peace and security; (b) democracy and good governance; (c) regional cooperation and integration; and (d) capacity building. Subsequent to the official launch of NEPAD, in its Resolution 57/2 of September 2002, the United Nations General Assembly (UNGA) hailed this initiative "as African Union-

led, -owned and -managed initiative” and “as a programme of the African Union that embodies the vision and commitment of all African Governments and peoples for peace and development”. The UNGA resolution endorsed the UN Secretary-General’s recommendation that NEPAD “should be the framework within which the international community, including the UN system, should concentrate its efforts for Africa’s development”. It was in this context that UNGA Resolution 57/7 of 04 November 2002 implored UN system organizations to examine how they should respond to NEPAD priorities. This Resolution called upon the UN organizations, within their respective mandates, to “align their activities in Africa with priorities of the New Partnership” and “to organize the activities of the United Nations system around clusters covering priority areas of the New Partnership”. The need for the UN system to better synergise and coordinate their support to NEPAD at regional, sub-regional and national levels was reiterated by the UNGA in December 2003.

These calls for better coordination, synergy and coherence of UN system-wide support to NEPAD culminated in the evolution of a three-tiered coordination architecture as follows: (a) globally, the Office of the Special Advisor on Africa (OSAA), based in New York, is tasked with the responsibility of global advocacy for NEPAD; (b) at the regional and sub-regional levels, the Economic Commission for Africa (ECA) has been given the responsibility of coordinating UN system-wide support to NEPAD through the Regional Coordination Mechanism jointly with the African Union (AU); there are currently efforts underway to establish the Sub-Regional Coordination Mechanism (SRCM) under ECA’s stewardship which will work more closely with the Regional Economic Communities (RECs) and (c) at the country level, the United Nations Development Programme (UNDP) has been tasked to take the lead in coordinating UN system-wide support to Africa through the Regional Director’s Teams (RDT’s), Resident Coordinator (RC) system and the UN Country Teams (UNCTs). The national-level coordination is largely based on the Common Country Assessment (CCA), United Nations Development Assistance Framework (UNDAF), Poverty Reduction Strategy Papers (PRSPs) and other MDG-related national strategies.

Furthermore, in 2003, based on the Maputo Declaration, African Heads of State and Government expressed their desire to see a properly integrated NEPAD into the structures and processes of the African Union (AU). This was to be reiterated in subsequent meetings, including during the meeting of NEPAD Heads of State and Government Implementation Committee (HSGIC) of African Union held in Algeria in March 2007. The Seventh Meeting of the RCM held in November 2006, recommended that clusters of the RCM, which had up to then focused exclusively on the implementation of NEPAD, should undertake a clear and traceable alignment of programmes and resources with AU priorities.

In November, 2006, a Declaration entitled “Enhancing UN-AU Cooperation: Framework for the Ten Year Capacity Building Programme”, (TYCBP-AU), was signed by the then UN Secretary General, Mr. Kofi Annan and the then Chairperson of the AU Commission, Mr. Alpha Konare. Its main purpose was to assist the then fledging Commission of the AU---the successor to the more politically-oriented OAU---to enhance its capacity to deliver on its more development and integrationist -oriented mandate. Indeed the Declaration specified the following six technical areas which would be the target

of these capacity building efforts: institution building, human resources development and financial management, peace and security, human rights, political, legal and electoral matters, and social, economic, cultural and human development. It was agreed that the Programme should serve as a framework for UN system-wide engagement with the AU on the basis of the latter's needs and strategic priorities. The RCM-Africa Secretariat based at ECA has been charged with coordinating this capacity-building initiative for the AU, its NEPAD programme and the RECs through the ten-year capacity building programme of the AU.

Four years after the signing of the Ten-Year Capacity Building Programme for the AU, slow progress was noticed in terms of its overall implementation. Consequently, the RCM-Africa Secretariat commissioned a consultant, Ambassador Crispin Grey-Johnson, to undertake a triennial review of the programme covering the period 2006-2009 with a view to identify the challenges and make recommendations as to how the implementation of the programme can be improved over the remaining six years. The RCM-Africa is the major conduit for the effective delivery of the new Ten-Year Capacity Building Programme of the AU following the Triennial Review through its various clusters and sub-clusters. During the previous sessions of RCM-Africa, a decision was made to mainstream a number of cross-cutting issues within the mandates of the clusters and sub-clusters.

One of these overarching issues that need mainstreaming is governance. This guidance note serves as a tool for facilitating mainstreaming of governance by the clusters and sub-clusters. At the request of the RCM Africa, the Governance Cluster has been tasked with providing guidance on the issue of mainstreaming governance into the fabric of its cluster system. In order to promote the mainstreaming of governance as a cross-cutting issue, the Governance Cluster of the RCM has prepared this Guidance Note.

3. Rationale for Mainstreaming Governance

1. Democratic governance is key to the achievement of sustainable human development, including promotion of inclusive growth, poverty reduction, sustainable environmental management, realization of MDGs and facilitation of a human rights based approach to development.
2. Democratic governance is also critical for the protection and promotion of human rights and fundamental freedoms and the right to development, combating corruption, inculcating a culture of rule of law, justice and constitutionalism, improving service delivery, achievement of gender equality and promotion of popular participation, through, inter alia, access to information, credible and transparent elections, decentralization of power and encouragement of a vibrant civil society engagement with the state institutions.
3. Democratic governance promotion of constructive management of conflicts aimed at achieving sustainable peace, security and political stability. At the heart of good governance is an institutional framework that facilitates

prevention, management and resolution of violent conflicts that take a toll of people's livelihoods. To this, good governance promotes not only a culture of democracy, but also a culture of peace.

4. Institutional effectiveness is at the core of good governance as well. The importance of capable institutions necessary for the effective functioning of both state and non-state actors in improving the socio-economic conditions of citizens cannot be overemphasized. Institutional effectiveness, transparency, and accountability are central to good governance. The capacity of the state to become responsive to citizens demands depends in large measure on the effectiveness of institutions in all sectors of development. Good governance requires strengthening the capacity of not only the state but civil society, ensuring voice and representation, including through giving effect to freedom of association and social dialogue; better delivery of services through decentralization and privatization, and community driven approaches.
5. Since the 1990s, African states have re-committed themselves to the institutionalization of democratic governance individually and collectively through regional and continental inter-governmental bodies. At the continental level, the AU has been in the driving seat for democratization of the continent since its inception in 2000. In Article 4 of its Constitutive Act, the African Union (AU) commits Member States to the following democratic principles, among others:
 - Respect for democratic principles, human rights, the rule of law and good governance;
 - Promotion of gender equality;
 - Promotion of social justice to ensure balanced economic development;
 - Respect for the sanctity of human life, condemnation and rejection of impunity and political assassinations, acts of terrorism and subversive activities; and
 - Condemnation and rejection of unconstitutional changes of governments.
6. Good Governance is the umbrella under which sustainable development takes place. The existence of strong, capable institutions, anti-corruption practices and legislation, public awareness and civic education, political will, sufficient capacity, and transformative leadership are keys to achieving the Millennium Development Goals (MDGs) and sustainable human development.
7. There is now international recognition that efforts to improve governance must be systematically integrated into all sector-based policies, plans, programmes and projects in order for countries to achieve sustainable development and reduce poverty. Sustainable development, poverty reduction and good governance are mutually supportive objectives and in order to meet the challenges ahead, accelerated efforts must be made.

4. Glossary of Key Terms

1. Political Governance refers to the exercise of political, economic and administrative authority in the management of a country's affairs at all levels. It comprises mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences. Governance encompasses, but also transcends, government. It encompasses all relevant groups, including government, the private sector, civil society organizations and individual citizens. Governance concerns the state's ability to serve the citizens – a 'capable state' is achieved when services are reaching citizens when they need them and where they are located. It refers to the rules, institutions, systems, processes and behavior by which interests are articulated, resources are managed, conflicts are mediated and power is exercised in society. The way public functions are carried out, public resources are managed and public regulatory powers are exercised is the major issue to be addressed in that context.
2. Economic Governance refers to the management of a country's economy in both the public and private spheres. African governments have made commitments on macroeconomic policy, public financial management, budgetary processes, and tackling corruption. Many countries have instituted reform across the public resource management cycle including the reconstitution of national revenue administrations, modernization of legal frameworks including procurement, creation of new structures in the budget preparation process, and strengthening of audit institutions. Yet, progress is slow and gains held back by a series of challenges including a significant transparency deficit, inadequate accountability, deficient political will to adhere to constitutional frameworks, tax and management laws, and technical and managerial capacity shortfalls. With respect to employment, for instance, good economic governance implies stronger public institutions capable of providing the framework for generating more and better jobs. Generating decent work calls for better management of development policies. Good governance requires strengthening the capacity of the state; strengthening civil society; boosting democracy, voice and representation, including through giving effect to freedom of association and social dialogue; better delivery of services, through decentralization, community driven and territorial approaches; and, at the international level, trade reforms. Increasing development, growth and job creation are essential to reduce conflicts and promote peace, security and political stability. Cross cutting integrated approaches to crisis management should include employment and decent work among the core components as social dialogue, involving strong

- and independent workers' and employers' organization is fundamental to peace building, conflict resolution, and building cohesive societies.
3. State refers to a set of public institutions comprising decision-making structures, decision-enforcing organs, decision-mediating agencies and decision-informing bodies. The state, thus, comprises permanent institutions which do not change irrespective of change of governments over time. These are public institutions with mandate to manage a nation's affairs. These include primary organs such as the executive, the legislature and the judiciary and supportive organs such as the bureaucracy and the security establishment (army, police, intelligence, correctional services and prisons etc).
 4. Democratic Developmental State refers a state that puts economic development as the top priority of government policy and is able to design effective instruments to promote such a goal within the context of a democratic environment. It is a state and a government which exhibit (a) a developmentalist ideology; (b) a ruling elite that is autonomous from societal social cleavages and external forces, yet hegemonic in its pursuit of the development goal, (c) an embedded ruling elite that is responsible for the development process, yet responsive to popular demands, (d) efficient bureaucracy that discharges its mandate for the achievement of development; (e) a democratic regime that is legitimate, accountable and popular; and (f) a secure state at peace with itself and its external environment.
 5. Government refers to officers that man state institutions who are charged with responsibilities of running national affairs of countries. Unlike state institutions, governments come and go either through military coups or through electoral contests among politicians organised largely through party political formations. Government officials include, among others, president, prime minister, cabinet, public servants, judges, soldiers, police officers, correctional service officers, local authorities etc.
 6. Civil Society refers to an array of non-state and non-governmental networks of people brought together by a common purpose or interest in influencing public policy in a particular direction. Some CSOs pursue one single issue while others may pursue a multiplicity of policy issues. Their role is restricted mainly to lobby and advocacy with a view to influence policy formulation and decision-making.
 7. Leadership refers to a group of elected or appointed political elite mandated to chart a national developmental vision for a given country. Leadership includes both state and non-state actors in society. Where this group of elite is regularly elected through credible, transparent and legitimate multi-party elections, leadership in such countries is considered democratic. Where this group of elite occupies their privileged positions through undemocratic means such as military coups, manipulation of national constitutions or any

form of coercion, such leadership is regarded autocratic and authoritarian in both form and content.

8. Capacity Building or Capacity Development entails those actions that invest in an organization, the ability to formulate, plan, manage and implement policies and programmes towards the full attainment of that organisation's objectives and goals. This would require the creation within the organization, of a critical mass of skills, knowledge and expertise and the availability of the requisite financial resources and organizational instruments, processes and mechanisms, all interacting in ways that conduce to effectiveness in the formulation and prosecution of policy, and success in the implementation of plans and programmes.
9. Political Party refers to an organized group of people with at least roughly similar political aims and opinions that seek to influence, control and direct public policy by getting its candidates elected into public office. Their three main functions include interest articulation, interest aggregation and recruitment. Given that in all democratic societies there are ruling and opposition parties, their execution of these functions differ as illustrated in the table 1 below.

Table 1: Key Functions of Political Parties

Party	Interest Articulation	Interest Aggregation	Recruitment
Governing	Implement policies	Sustain electoral support for government	Fill government positions
Opposition	Develop alternatives	Gain electoral support for change	Build pool of competent people

10. Democracy refers to a political system that allows citizens to freely choose their government over time through credible, transparent and legitimate elections; a system which accords them adequate participation in national affairs and; a system in which the national affairs are run in a participatory, inclusive and accountable manner and, above all; a system in which there is a fair and equitable distribution of the national wealth.
11. Democratic Consolidation refers to the process by which a country's political institutions and democratic procedures become legitimized, stable and broadly accepted by both political actors and the wider population.
12. Corruption refers to the behavior and conduct of people who, entrusted with public or private functions, fail to respect their duties and instead obtain unwarranted advantages for themselves or others. The most common forms of corruption include bribery, extortion, kickbacks, peddling in influence, cronyism, nepotism, patronage and embezzlement.

13. Petty Corruption, also described as 'survival corruption', refers to a form of corruption which is pursued by junior or middle-level agents who may be grossly underpaid and who depend on relatively small but illegal rents to feed and house their families and pay for their children's education. Although petty corruption usually involves much smaller sums than those that change hands in acts of 'grand' or 'political' corruption, the amounts are not petty for the individual adversely affected. Petty corruption disproportionately hurts the poorest members of society, who may experience requests for bribes regularly in their encounters with public administration and services like hospitals, schools, local licensing authorities, police, taxing authorities etc.
14. High-Level or Grand Corruption takes place at the policy formulation end of politics. It refers not so much to the amount of money involved as to the level at which it occurs-where policies and rules may be unjustly influenced. The kinds of transactions that attract grand corruption are usually large in scale and therefore involve more money than bureaucratic or petty corruption. Grand corruption is sometimes used synonymously with grand corruption.
15. Administrative Corruption is the extent to which firms make illicit and non-transparent payments to public officials in order to alter the prescribed implementation of administrative regulations placed by the state on the firm's activities. Through administrative corruption, rents deriving from the discretionary capacity of the state to regulate activities accrue primarily to corrupt public officials.
16. Bribery refers to informal payments or gifts demanded by or offered to, public officials. These could be demanded for services that the public officials are supposed to provide, for licenses or in exchange for choosing a contractor (kickbacks) or arranging favourable privatization deals.
17. Extortion refers to the threat of use of force or other forms of intimidation to extract payments; for example, a regulator who threatens to shut a factory down based on the violation of some standard if a payment is not made.
18. Misappropriation refers to theft or private use of public funds or equipment.
19. Self-Dealing is the practice of hiring one's own firm-or a firm belonging to close relatives or friends-to provide public services.
20. Patronage refers to hiring one's own friends and relatives, even when they are not the most qualified, or accepting bribes in exchange for government jobs.
21. Shirking refers to a practice where public officials routinely come late to work, leave early, are routinely absent from work or perhaps never come to work at all.
22. Campaign Finance Improprieties refer to misuse and abuse of public funds for pursuit of political mileage in elections against one's opponents or gaining favours in terms of policy formulation and implementation. This includes exchanges of campaign financing for political favours like procurement or privatization deals.

23. State Capture is the extent to which outside interests (firms, mafia networks and others) make illicit and non-transparent private payments to public officials in order to influence the formation of laws, rules, regulations or decrees by state institutions. Alternatively, some firms may have influence they can leverage to obtain favourable rules.
24. Gender Equality refers to the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not mean that women and men will become the same, but that women's and men's rights, responsibilities and opportunities will not depend on whether one is born male or female. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration in decision-making.
25. Human Rights refer to inalienable entitlements that people have to enjoy as human beings. They are universal-the birthright of all human beings. They focus on the inherent dignity and equal worth of all human beings. They are equal and indivisible-there is no hierarchy among rights. They cannot be waived or taken away. They impose obligations, particularly on states and state actors. They have been internationally guaranteed. They protect individuals and to some extent groups.
26. Access to Information is about promoting and protecting rights to information and channels of communication that enable people to voice views, participate in democratic processes and set priorities for action.
27. Civic Engagement and Civic Participation refer to people's involvement in shaping policies and decision making processes that affect their lives. It can take place at an individual level, for example through voting or through collective action through civil society formations etc. Over the past few decades, civil society has become a key factor in development and governance at local, national, regional and international levels.
28. Elections refer to mechanisms people, commonly referred to as electorate, make in choosing their leaders at various layers of society. It is an expression of popular sovereignty. It is one of the most basic political rights. In representative democracies, elections are the key mechanisms by which people make choices about who should represent and lead them, as well as express preference for given policies. Elections in this context are meant to facilitate changes in leadership from one party or candidate to another in a way that is structured, competitive, transparent, and within a legal framework. The electoral processes and procedures follow what is commonly referred to as the electoral cycle. The electoral cycle has eight main stages namely (i) legal framework, (ii) planning and implementation, (iii) training and education, (iv) registration and nominations, (v) electoral campaign, (vi) voting operations and election day, (vii) verification of results and (viii) post-election processes including dispute resolution.

29. Electoral System refers to an institutional arrangement for the conduct of an election: be it a local government, national assembly or presidential election. It encompasses procedures, laws, rules and regulations for the electorate to exercise their democratic right to choose their leaders and translate those ballots into actual representation in the national assembly. This institutional arrangement in turn determines the manner in which votes cast by the electorate in an election are turned effectively into seats in, for instance, the national assembly. The electoral system translates the votes cast in a general election into seats won by parties and candidates. The key variables are the electoral formula used (i.e. whether the system is majoritarian or proportional, what mathematical formula is used to calculate the seat allocation) and the district magnitude (not how many voters live in a district, but how many members of parliament that district elects). The four main families of electoral systems are (a) the Single Member Plurality (SMP); (b) the Single Member Majority (SMM), (c) Proportional Representation (PR) and (d) Mixed Systems.
30. Electoral Law refers to one or more pieces of legislation governing all aspects of the process for electing the political institutions defined in a country's constitution or institutional framework.
31. Electoral Management Body (EMB) refers to the organization tasked under electoral law with the responsibility for the conduct of elections. There are three models of EMBs: (a) the independent model; (b) the governmental model; and (c) the mixed model.
32. Electoral Cycle refers to steps and stages involved in the preparation and implementation of an electoral process viewed as one event in a continuing series. In addition to the steps involved in a particular electoral process, it includes post-election evaluation and/or audit, the maintenance of institutional memory, and the process of consultation and planning of the forthcoming electoral process.
33. Conflict refers to a situation in which two or more parties pursue incompatible interest whereby for party A to achieve its interests, that should be at the disadvantage of, or at a cost to, parties B and C. This is zero-sum situation where one's gain means another's loss. If managed constructively, conflict is positive to socio-economic and political transformation of societies. However, if mismanaged, conflict turns violent with deleterious effects on people's lives, the economy and the social fabric of a country.
34. Electoral Dispute refers to any complaint, challenge, claim or contest relating to any stage of the electoral cycle.
35. Electoral Justice refers to the various means and mechanisms for ensuring that every action, procedure and decision related to the electoral process is in line with the law (the constitution, statute law, international instruments or treaties and all other provisions in force in a country) as well as those

- protecting or restoring the enjoyment of electoral rights. Electoral justice gives people who believe their electoral rights to have been violated the ability to make a complaint, get a hearing and receive an adjudication.
36. Voter Education refers to a process by which people are made aware of the electoral process, including the particulars and procedures for voter registration and voting.
 37. Civic Education refers to information and/or educational programme which is designed to increase the comprehension and knowledge of citizens' rights and responsibilities in relation to the affairs of their country including governance.
 38. Public Administration is one of the main vehicles through which the relationship among the state, civil society and the private sector is realized. It refers to (a) the aggregate machinery (policies, rules, procedures, systems, organizational structures, personnel) funded the state budget and (b) the management and implementation of government activities dealing with laws, regulations, decisions of the government as well as the management related to the provision of public services.
 39. Public Administration Reform (PAR) refers to structural and/or process changes in areas such as organizational design, decentralization, personnel management, public finance, results-based management, access to information, and interaction with civil society and the private sector. Reforms can be comprehensive, covering a wide range of areas or targeted such as the revision of a civil service statute.
 40. Justice Sector refers to both criminal and civil justice systems. It is made up of a range of institutions and actors, the core set of which includes at the state level, the courts, prosecution services, attorneys and lawyers, police, correction and prison services. More broadly, social workers, community leaders, paralegals, traditional councils, faith-based structures and other local arbitrators are also important players.

5. Mainstreaming Governance in the RCM Cluster System

Mainstreaming governance means incorporating it – explicitly and/or implicitly – in all sectors and at all intervention levels in order to secure sustainable impacts in each sector. Systems and incentives promoting good governance are identified and appropriate specific approaches taken to support the institutions with a view to increase their orientation to the principles of integrity, transparency and accountability. The goal is to incorporate good governance principles in the rules, regulations, institutions, systems, structures and processes of the RCM. The mainstreaming of governance in RCM also ought to impact the mindset cluster members with the embrace of good governance in the management of clusters, their programming and intervention strategies in their partnerships with AUC, NPCA and Regional Economic Communities.

Mainstreaming governance implies the systematic and informed incorporation of elements of good governance into the plans, policies, projects and programmes of the clusters and sub-clusters. Achieving this requires awareness and knowledge of the concepts, an assessment framework for monitoring existing plans, policies, projects, programmes and activities to determine how governance related outcomes can be subsequently enhanced.

In order to promote the mainstreaming of good governance as a cross cutting issue, the Governance Cluster has recommended a number of tools. Partnering agencies tasked with designing or carrying out projects or programmes in the 9 clusters and who are seeking systematic general knowledge and a conceptual framework on integrating good governance into sector based projects. Furthermore, the tools can serve to emphasize topics of good governance in the political dialogue and/or incorporate them more firmly in efforts to support and implement development strategies.

6. Selected African Governance Monitoring Initiatives

- The African Governance Report (AGR)
- The African Peer Review Mechanism (APRM)
- The African Governance Architecture (AGA)

6.1. The African Governance Report (AGR)

The ECA and UNDP have foisted a new partnership in working together to produce the African Governance Report (AGR), and the national country reports of the AGR, which hitherto were produced by the ECA alone. The African Governance Report (AGR) is the most comprehensive report on governance in Africa, which assesses and monitors the progress African Countries are making on governance, identify capacity gaps in governance institutions and makes appropriate policy recommendations aimed at improving governance on the continent. The origins of the AGR are traceable to 1999 when ECA started a project on: “*Assessing and Monitoring the Progress towards Good Governance in Africa*”. The underlying premise of the project is that development in Africa has been slow and stunted because of the poor nature of governance on the continent. With improved governance, Africa’s economic progress and development will be enhanced and sustainable. Hence, ECA embarked on the AGR project. The report adopts a unique methodology, which combines three instruments (i) expert opinion, (ii) national households’ surveys and (iii) a desk research. ECA adopts a decentralized approach in preparing the report in which independent national research institutions are commissioned to do the country reports. In order to ensure inclusiveness and broad consultation, the national research institutions are to establish steering committees for the project in their respective countries composed of different stakeholders and to convene two workshops-the methodology and validation workshops in which different stakeholders are brought along both in terms of the essence and processes of the project and result from it.

There are three outputs from the AGR project, namely (a) the AGR, (b) the Country Reports and (c) the Country Profiles. The AGR is a synthesis of the country reports. The first

edition of the AGR published in 2005 covered 27 African countries, and the second covered 35 (published by Oxford Press for ECA). A decentralized approach is adopted in preparing the report in which independent national research institutions are commissioned to do the country reports. In order to ensure inclusiveness and broad consultation, the national research institutions are to establish steering committees for the project in their respective countries composed of different stakeholders and to convene two workshops—the methodology and validation workshops in which different stakeholders are brought along both in terms of the essence and processes of the project and result from it.

The AGR has become perhaps the most important and strategic knowledge and policy document on governance in Africa. Amongst other things, the report has become a tool of policy dialogue, a reference material for scholars, policy makers and civil society organizations and a veritable instrument for identifying good practices across countries. Also, the report constitutes the background material used in the APRM process in many countries. After the production of the first two editions of the report (AGR I and II), there was a rigorous review of the entire AGR project, with broad consultations with experts, stakeholders and partner institutions. A project review workshop was held in July 2009. Subsequently, two decisions were taken on the AGR project. First is to partner with the UNDP in the production of the AGR especially in the production of the national country reports, and second, to adopt a thematic approach in the production of the report. Besides the thematic approach to the biennial AGR report, there would be a general report produced every six years to monitor at a general level, the progress African countries are making on governance.

The partnership between the ECA and UNDP on the AGR reinforces the age-long relationship between the two institutions on governance. UNDP and ECA have long worked together on the African Governance Forum (AGF) and the AGR process is to feed into subsequent AGFs. The partnership on the AGR provides a win-win situation for both ECA and UNDP on the project. It would facilitate better knowledge production, governance dialogue, policy engagement and outreach on the findings of the report at the regional, sub-regional and country levels. All the national country reports of the AGR will be published and widely disseminated and also the AGR itself.

In choosing a theme for the next AGR, ECA and UNDP were guided by three main considerations. These were; the findings of AGR I and AGR II; the cross-cutting issues identified by the APRM in the reviews done so far, and general pressing issues on the continent. Four issues stand out quite clearly. These are: elections and diversity management, corruption, gender and constitutionalism. After exhaustive deliberations and consultations, it was decided that the next edition of the AGR (AGR III) should be on: “*Elections and the Management of Diversity in Africa*”.

Towards preparations for the production of AGR III and its associated outputs, several activities have been undertaken. Background paper was prepared, methodology refined, and several multi-stakeholder consultations undertaken. The first was in July 2009, the second in March 2010 and the third in April 2010. All were geared towards fine-tuning the ideas, framework and methodology for the report.

The UNDP country offices will facilitate the process of procurement and supervision of the national country reports with technical backstopping from the ECA and the UNDP Regional Office based in Addis. The Technical Workshop on the AGR III is to bring together the UNDP country focal points and some of the national research institutions for briefing on the background, modalities, processes, management and production of the national country reports of the AGR III on the theme: *Elections and the Management of Diversity in Africa*.

The AGR process is a unique one because of the following characteristics.

1. Integrity of research methodology and data collection - primary data is collected through rigorous and robust scientific research methods.
2. Country ownership - NRIs are responsible for delivering the products of the AGR process with the technical support of ECA.
3. Independent research - The NRIs are independent from the government, and are selected on a competitive basis.
4. Stakeholders' participation – Stakeholders are consulted in the production of the country reports through the use of Launching Workshops at the beginning of the process and Validation Workshops where the country reports are presented to a wide range of stakeholders.

6.2. African Peer Review Mechanism (APRM)

The origin of the APRM is in the 2002 NEPAD Declaration on Democracy, Political, Economic and Corporate Governance. The Declaration proclaims, among others, that “Africa faces challenges and the most urgent of these are the eradication of poverty and the fostering of socio-economic development, in particular, through democracy and good governance. It is to the achievement of these twin objectives that the NEPAD process is directed”. The Declaration further reaffirms that Africa’s development is the responsibility of Africans themselves and that Africa’s development problems must be resolved by Africans themselves. The APRM is a voluntary self-assessment mechanism for African states aimed at institutionalizing and consolidating democratic governance. It is acceded to by AU member states with a view 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 enforcement of successful and best practice, including identification of deficiencies and assessing the needs for capacity building. The APRM process is quite elaborate and evolves through five stages involving various state and non-state actors before a final report and the national programme of action is implemented, monitored and reviewed over time.

A country that accedes to the APRM commits itself to be periodically reviewed in terms of its policy frameworks, institutional architecture, systemic set-up and practices around four clusters of governance namely:

- Democracy and Good Political Governance;
- Economic Governance and Management;

- Corporate Governance; and
- Socio-economic Development.

Upon acceding to the APRM, such a country effectively commits itself not just to a one-off review as the APRM is a continuous and periodic review that takes place every two to four years. Conversely, in some instances, participating NEPAD Heads of State and Government could be driven by signs of an impending socio-economic and/or political crisis/turmoil to call for a review in a given country in a spirit of helpfulness to the government concerned. In essence, therefore, there are four types of reviews namely:

- The first baseline review undertaken after eighteen months of the country acceding to APRM;
- A periodic review every two-four years thereafter;
- A member can also request, on its own accord, a review which is not part of the mandated reviews; and
- Early signs an impending political or economic crisis in a member country could also trigger a review which could be called by the participating Heads of State and Government.

The implementation of the review is coordinated by the Panel of Eminent Persons with administrative and logistical backstopping from the APRM Secretariat which is part of NEPAD and is based in Midrand, South Africa. The APRM is supposed to undergo a review every five years through a Conference of Participating Countries in order to ensure its dynamism. Following the 2007 Algiers meeting of the Heads of State and Government Forum, a review of the APRM has been underway.

APRM is a flagship Africa led and owned mechanism aimed at enhancing people's participation in the identification of governance challenges at the national level and ensuring voluntary national commitment to addressing them under a regional enforcement rubric. UNDP, ECA and AfDB have been designated strategic partners of the APRM since 2004. These institutions have provided key technical and financial support to the APRM from its inception in their capacity as strategic partners and most of this support has been channeled through the RCM Cluster system. So far, more than 30 African countries have acceded to the APRM. A total of 14 African countries have completed the APRM review process and one countries (Kenya) is in the process of a second cycle of peer review.

6.3. African Governance Architecture (AGA)

The African Union Commission has been mandated by the AU policy organs to promote and facilitate the establishment of an appropriate architecture for the promotion of good governance. The basis for a more coherent, integrated and elaborated Architecture on Governance is also highlighted by article 44-49 of the African Charter on Democracy, Elections and Governance.

In pursuance of this mandate, the Commission embarked on a process of consensus building with regards to the nature, structure, mandate and framework of the governance architecture. The consultative process has resulted in an emerging consensus that as the overall political and institutional framework for the promotion of governance in Africa,

the African Governance Architecture (AGA) is an “evolving process” consisting of *three pillars*: (i) a *vision/shared values* supported by a governance agenda and norms; (ii) a set of governance *institutions and actors/institutional framework*; and (iii) concrete *processes* to promote synergies, common agendas and greater impact, including the need to establish an *African Platform on Governance* as the motor to the African Governance Architecture. As an important *mechanism of the AGA*, the Platform is envisaged as the *coordinating arm* of the overall AGA.

The Commission is currently in the process of finalising the operationalisation of the African Platform on Governance. Though the Platform is an interaction mechanism which serves to enhance coordination, its strategic objective is beyond the need for coordinated and integrated actions in the terrain of governance. Within the context of the Platform, coordination, harmonisation and formalisation of interactions are perceived as a strategic response to address the challenge of implementation of the Governance Agenda, and enhancing the capacity of the institutions that constitute the AGA.

The African Platform on Governance will function as the operational arm to strengthen the overall AGA. Operating as an informal space for joint action, it will provide a flexible tool to enable/enhance coordination and complementarity among African institutions with a formal mandate to promote governance. The five specific objectives of the Platform are:

- to organise a systematic exchange of information and good practices;
- to improve dialogue between governance actors;
- to elaborate joint governance agendas;
- to increase Africa’s capacity to speak with one voice; and
- to monitor effective implementation, progress achieved and compliance.

In terms of composition, the Platform should consist of the relevant AU Organs (including those dealing with Peace and Security) and the RECs.

The AGA was officially adopted by the AU at its summit held in Addis Ababa, Ethiopia in January 2011. The AGA and its Platform will certainly form a critical anchor for the implementation of relevant activities during the Year of Shared Values in 2012. During this summit, the AU adopted a declaration. The 12-point declaration contains the following commitments:

1. We commit ourselves to enhancing efforts aimed at reinforcing a deeper understanding of Shared Values and their promotion and popularisation amongst the African peoples as a means of shaping Africa’s common future and mobilising the African peoples towards achieving the shared vision of continental integration and unity.
2. We reaffirm our commitment to speeding up the ratification and domestication of instruments of Shared Values and call upon the African Union Commission (AUC) to put in place measures and modalities to support Member States to establish the required capacities and processes for monitoring and review of domestication efforts.

3. We affirm the need for the consolidation and full implementation of the instruments of Shared Values, including the African Peer-Review Mechanism (APRM) and relevant National Plans, as a catalyst for unity, policy harmonisation, convergence and integration on the Continent.
4. We encourage the African Union Commission to ensure greater synergy between peace and security matters and governance and democracy, thereby ensuring that developments in the terrain of shared values feature prominently in the Peace and Security Council.
5. We further commit ourselves to promoting the role of women in socio-economic life and prioritise the participation of women in governance and democracy and secure their direct involvement in decision-making in line with the Solemn Declaration on Gender Equality in Africa (SDGEA) and the Declaration on the African Women's Decade (2010-2020).
6. We urge the youth to participate fully in governance and democracy processes, as per the provisions of the African Youth Charter and request that efforts be put in place to establish an annual Youth Parliament at the continental level.
7. We further encourage efforts directed at enhancing the participation of African Research Institutes, Universities, Civil Society and the Media in promoting Shared Values as part of wider efforts directed at securing African ownership.
8. We call on the AUC and other Organs to establish African ownership over Shared Values by way of wider communication and information sharing, through direct support to Member States, by ensuring the strengthening of institutions and by way of putting in place measures to ensure that success is monitored and that there is ongoing review of progress in the implementation of adopted Shared Values instruments.
9. We urge all African peoples and stakeholders to take ownership of adopted Shared Values, through amongst others, providing resources and promoting these as a basis for enhancing African unity and integration.
10. We further call upon the RECs to work closely with the AUC and other AU organs and institutions in harmonising their instruments and further urge them to promote the Shared Values especially in the areas of democracy, governance and popular participation.
11. We commend the work of the AUC on strengthening the African Governance Architecture and affirm the importance of establishing an African Governance Platform as a basis for facilitating harmonisation of instruments and coordination of initiatives in governance and democracy.
12. We note with appreciation the support provided by our bilateral and multilateral partners and call on them to continue working closely with us in the popularization and domestication of Shared Values and request the AU Commission to report on the implementation of this Declaration.

The G8/Africa Joint Declaration on Shared Values, Shared Responsibilities (Deauville) released on 27 May 2011 reconfirmed its commitment for the AGA and welcomed the AU's decision to speed up the ratification of African governance and human rights instruments, in particular the African Charter on Democracy, Elections and Governance, and the African Peer Review Mechanism (APRM). The added value of the AGA noted by the meeting included a conscious effort to reduce the huge fragmentation that currently exists between development partners in Africa working on governance issues; enhancing coordination/complimentarity; articulating four layers of governance (continental, regional, national, local); greater compliance impact; and reinforcement of the AU as the leading voice for Africa.

7. Measuring Governance: The UNDP Approach

Since 1990, UNDP has produced its flagship publication, the Human Development Report (HDR) on an annual basis. That inaugural HDR defined human development as “a process of enlarging people’s choices. In principle, these choices can be infinite and change over time. But at all levels of development, the three essential ones are for people to lead a long and healthy life, to acquire knowledge and to have access resources needed for a decent standard of living. If these essential choices are not available, many other opportunities remain inaccessible” (UNDP 1990 HDR, P.10). Since its very inception, the HDR introduced and popularized a new way of measuring human development in the form of the Human Development Index (HDI). HDI is a composite statistic that is used to measure development by combining (a) life expectancy, (b) educational attainment, and (c) income. HDI provides clear indicators and dimensions that measure the state of human development annually in about 173 countries world-wide, using these three elements above. The four indicators and three dimensions of HDI are illustrated in the table 2 below.

Table 2: Dimensions and Indicators of HDI

Indicators	Dimensions
HEALTH	Life expectancy at birth
EDUCATION	Mean years of schooling Expected years of schooling
LIVING STANDARDS	Gross National Income per capita

This measurement is used to rank countries into (a) High Human Development; (b) Medium Human Development and (c) Low Human Development. It is therefore a comparative measure of health, education and standard of living globally. On the basis of the assessment, we are able to gauge whether a country developed, developing or underdeveloped. While UNDP continues to produce this influential policy document annually, UNDP Country Offices have also facilitated production of country-specific HDRs. UNDP has also facilitated production of regional HDRs as well and the first African Human Development

opment Report is expected out by the end of 2011 or in early 2012. Since the inception of HDR and HDI two additional measurements have been developed namely (a) Human Poverty Index and (b) Gender Equality Index. RCM Clusters and Sub-Clusters are highly encouraged to familiarize themselves with HDI which can be found in any one of the UNDP Human Development Reports either in print or on line at <http://hdr.undp.org/> Given the centrality of gender equality to governance, we recommend that RCM Clusters and Sub-Clusters use the UNDP Gender Equality Index together with the UNECA African Gender and Development Index.

While UNDP has developed this comprehensive measurement for Human Development, it has also developed measurement indicators for governance to gauge the state of democracy, political rights and civil liberties. The UNDP framework for measuring and assessing governance uses two types of indicators: (a) Objective Indicators and (b) Subjective Indicators as shown in the tables below.

Table 3: Governance Measurement: Objective Indicators

Indicator	Source
Date of most recent elections	Inter-Parliamentary Union
Voter turnout	Inter-Parliamentary Union
Year women received right to vote	Inter-Parliamentary Union
Seats in parliament held by women	Inter-Parliamentary Union
Trade Union Membership	Inter-Parliamentary Union
Non-Governmental organizations	Yearbook of International Organisations
Ratification of the International Covenant on Civil and Political Rights <ul style="list-style-type: none"> Recognizing that, in accordance with the Universal Declaration of Human Rights, the ideal of free human beings enjoying civil and political freedom and freedom from fear and want can be achieved only if conditions allow all people to enjoy their civil, political, economic, social and cultural rights. 	UN Treaty Section
Ratification of Freedom of Association and Collective Bargaining Convention 87 <ul style="list-style-type: none"> The International Labour Organisation declares 'recognition of the principle of association' to be a means of improving conditions for workers and establishing peace. 	UN Treaty Section

Source: UNDP 2002 Human Development Report, p.36.

Table 4: Governance Measurement: Subjective Indicators

Indicator	Source	Concept measured	Methodology	Range
Polity score	Polity IV Dataset, University of Maryland	Competitiveness of chief executive recruitment Openness of chief executive recruitment Constraints on chief executive Regulation of participation Regulation of executive recruitment Competitiveness of participation	In-house expert opinion	-10 (less democratic) To 10 (most democratic)
Civil liberties	Freedom House	Freedom of expression and belief Freedom of association and organisational rights Rule of law and human rights Personal autonomy and economic rights	In-house expert opinion	1.0-2.5 free 3.0-5.0 partly free 6.0-7.0 not free
Political Rights	Freedom House	Free and fair elections for offices with real power Freedom of political organization Significant opposition Freedom from domination by powerful groups Autonomy or political inclusion of minority groups	In-house expert opinion	1.0-2.5 free 3.0-5.0 partly free 6.0-7.0 not free
Press Freedom	Freedom House	Media objectivity Freedom of expression	In-house expert opinion	0-30 free 31-60 partly free 61-100 not free
Voice and accountability	World Bank Governance Indicators Dataset	Free and fair elections Freedom of the press Civil liberties Political rights Military in politics Change in government Transparency Business is kept informed of developments in law and policies Business can express its concerns over changes in law and policies	Aggregate of a variety of sources including Freedom House and International Country Risk Guide	-2.5 to 2.5; higher is better
Political stability and lack of violence	World Bank Governance Indicators Dataset	Perceptions of the likelihood of destabilization (ethnic tensions, armed conflict, social unrest, terrorist threat, internal conflict, fractionalization of the political spectrum, constitutional changes, military coups)	Aggregate of a variety of sources including the Economic Intelligence Unit, PRS Group, Business Environment Risk Intelligence	-2.5 to 2.5; higher is better
Law and order	International Country Risk Guide	Legal impartiality Popular observance of the law	In-house expert opinion	0.6; higher is better
Rule of law	World Bank Governance Indicators Dataset	Black markets Enforceability of private and government contracts Corruption in banking Crime and theft as obstacles to businesses Losses from and costs of crime Unpredictability of the Judiciary	Aggregate of a variety of sources including PRS Group and Business Environment Risk Intelligence	-2.5 to 2.5; higher is better

Indicator	Source	Concept measured	Methodology	Range
Government effectiveness	World Bank Governance Indicators Dataset	Bureaucratic quality Transaction costs Quality of public health care Government stability	Aggregate of a variety of sources including PRS Group, Freedom House and Business Environment Risk Intelligence	-2.5 to 2.5; higher is better
Corruption perception index	Transparency International	Official corruption as perceived by businesspeople, academics and risk analysts	In-house expert opinion	0-10; higher is better
Graft (corruption)	World Bank Governance Indicators Dataset	Corruption among public officials Corruption as an obstacle to business Frequency of 'irregular payments' to officials and judiciary Perception of corruption in civil service. Business interest payments	Aggregate of a variety of sources including PRS Group, Freedom House and Business Environment Risk Intelligence	-2.5 to 2.5; higher is better

Source: UNDP 2002 Human Development Report, p.37.

8. The UNECA African Gender and Development Index

The African Centre for Gender and Development at the UNECA has developed a robust gender monitoring tool known as the African Gender and Development Index. It has two main components namely (a) the Gender Status Index (GSI) and (b) The African Women's Progress Scoreboard (AWPS). The GSI is a measure of gender equalities, capturing gender related issues in a quantitative manner. It is based on three blocks as follows: (i) social power; (ii) economic power and (iii) political power. The first block on social power includes indicators on education and health. The second block on economic power includes indicators on income, time use, employment and access to resources. The third block on political power includes indicators on political power with the private and public spheres (see UNECA, 2011, The African Gender and Development Index, p.15). The African Women's Progress Scoreboard which is complimentary to GSI is a measure of government policy performance regarding women's advancement and empowerment. It is more of a qualitative measurement which tracks government progress in ratifying, domesticating and implementing relevant international instruments such as the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW, and the Protocol to the African Charter on Human and People's Rights Relating to the Rights of Women as well as the Solemn Declaration on Gender Equality in Africa (see UNECA, 2011, The African Gender and Development Index, p29 & p.37). The GSI is presented in the table below. For the details of the AWPS which is supplementary, refer to the 2011 AGDI on pages 32-33.

Table 5: Gender Status Index (GSI)

Block	Component	Sub-Component	Indicators	Sources	
Social Power 'capabilities'	Education	Enrolment	Early childhood enrolment	Ministries of education, population census and household surveys	
			Primary enrolment rate (net)		
			Secondary enrolment rate (net)		
		Completion	Tertiary enrolment rate (gross)	Ministries of education	
	Health	Child health	Proportion of pupils starting grade 1 who reach last grade of primary	Living standard Measurement studies, Demographic and health surveys	
			Literacy		Literacy rate of 15-24 years old
			Stunting under 5 using minus 2 standard deviation		
		HIV/AIDS	Underweight under 5 using minus 2 standard deviation	Living standard Measurement studies, population census, Demographic and health surveys	
	Mortality under 5				
	Economic Power 'opportunities'	Income	Wages	HIV/AIDS prevalence among 15-24 years old	Ministries of health
Access to anti-retroviral treatment					
Wages in agriculture				Agricultural surveys	
Income			Wages in civil service	Ministries of public service	
		Wages in formal sector (public and/or private)	Enterprise surveys		
		Wages in informal sector	Informal sector surveys		
Time-used and employment		Time-use	Income from informal enterprise	Agricultural surveys, Living standard Measurement studies	
			Income from small agricultural household enterprise		
		Employment	Share of women under the poverty line	Living standard Measurement studies, Household surveys	
			Time spent in market economic activities (as paid employees, own account or employer)	Time-use surveys using variable disaggregated by: Age Urban rural	
Access to resources	Means of production	Time spent in domestic, care and volunteer activities	Population census, Labour Force Surveys and Household surveys		
		Share of women in non-agricultural wage employment			
	Management	Youth unemployment rate	To be collected		
		Ownership of: Rural land/farms Urban plots/houses livestock			
		Access to credit (commercial and micro-credit)		To be collected and informal sector surveys	
		Employees		Population census or Labour Force Surveys	
Management	Own-account workers	Ministries of public service			
	High civil servants (class A)				
		Members of professional syndicates	To be collected		

Political Power 'agency'	Public sector	Members of parliament Cabinet ministers High positions in civil service and parastatals Employment in the security forces Judges high courts lower courts traditional and religious courts Members of local councils Number of male/female traditional rulers	To be collected
	Civil society	Senior positions in: political parties trade unions Employers' associations Heads or managers of NGOs	To be collected

Source: UNECA. 2011. The African Gender and Development Index: Promoting Gender Equality in Africa, pp17-18.

9. Conclusions and Way Forward

This guidance note provides the utility, rationale and methodologies for mainstreaming governance within the RCM Clusters and Sub-Clusters. It has shown the centrality of governance for peace, security, democracy, development, regional integration and stability in Africa. This is why major continental inter-governmental organizations and initiatives have prioritized achievement of democratic governance such as AU, its NEPAD programme and the Regional Economic Communities. The background to mainstreaming governance within the clusters and sub-clusters has been provided including a glossary of key governance terms. The guidance note has also profiled three important continental governance assessment and monitoring initiatives namely (i) the African Governance Report; (ii) the African Peer Review Mechanism; and (iii) the African Governance Architecture. The actual mechanics and practicalities for measuring governance have been linked to measurement of human development. In this regard, we have proposed that clusters and sub-clusters familiarize themselves with the UNDP Human Development Report and its associated Human Development Index. Specifically with respect to measuring governance itself, two main approaches and methodologies have been proposed namely (a) UNDP assessment of governance which uses both objective and subjective indicators; and (b) the UNECA African Gender and Development Index which assesses gender equality with its two main tools namely the GSI and AWPS.

In taking this process of governance mainstreaming forward, we propose the following steps:

- Clusters and Sub-clusters to review the extent in which they are mainstreaming governance, human rights and gender equality in their work;
- The mainstreaming of governance, human rights and gender equality should be undertaken right at the planning stage, so that during implementation mainstreaming becomes fairly seamless;
- In monitoring and evaluating their work, clusters and sub-clusters should check the extent to which their programme/project delivery has taken into account governance, human rights and gender equality as part of their indicators of success;
- The evolving comprehensive Ten-Year Capacity Building Programme of the AU following the triennial review of the 2006 framework should inject governance, human rights and gender equality as key cross-cutting issues for the UN support to AU's institutional effectiveness; and
- UNDP, as the co-chair of the Governance Cluster, commits to providing technical assistance in the efforts by clusters and sub-clusters aimed at effective mainstreaming of governance such as training, facilitation etc.

C. Mainstreaming Health

Mainstreaming Health in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa

1. Introduction

All clusters should be aware of their current and potential future impact on health, as the aim of mainstreaming is to reduce the unintentional, and sometimes negative, effects of development work on health. Mainstreaming of health would mean that each cluster would have to analyze the impact that the area of work for each cluster has on health issues, such as HIV and AIDS. A simple way to guide mainstreaming would be to ask of any situation: *How does health come into play here?*

This can be further specified by posing these five questions:

1. What are the implications/possible negative impacts of the sector's policies, strategies and/or activities on health?
2. How can the sector assess the potential health impact of its activities?
3. What are the potential positive effects of the sector's policies and activities on health?
4. What interventions, at the policy, strategy and/or activity level that the sector needs to implement in order to prevent/minimize the negative impacts and enhance/facilitate the positive effects on health?
5. How can these health-related actions be monitored / evaluated, using what indicators and means of verification?

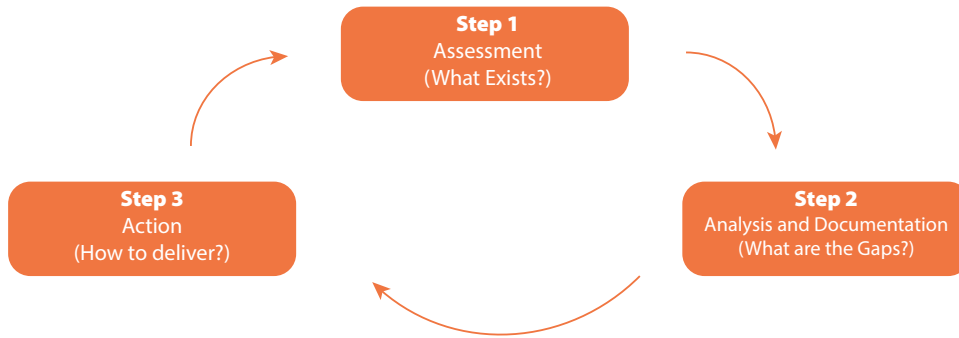
2. Framework for Mainstreaming Health

The *Framework for Mainstreaming Health* across and within sectors and sub-sectors is intended to establish linkages between how the work of each sector contributes to health outcomes. Specifically, the Framework facilitates establishing the role played by each sector or sub-sector in influencing, positively or negatively, health risk factors and determinants of health that lead to ill-health, disability and premature deaths. To establish the performance of each sector or sub-sector, a *three-step approach* is proposed which entails (1) an *Assessment* of the situation; (2) *Analysis and documentation* in order to create a profile; and (3) required *Action* to develop and implement favorable policies, strategies and guidelines legislations beneficial to health.

Table 1: Framework for Mainstreaming Health

Tasks / Issues	Tools
Step 1: Assessment (Audit)	
How your sector contributes to health?	Policies, strategies, guidelines, activities, M & E tools
Step 2: Analysis and Documentation	
What are the positive effects (impact)?	Knowledge, attitudes, beliefs
What are the negative effects (impact)?	Policy and legislative impact
What is the gap (documentation)?	Content & skill gap; human & financial resource gap; evidence gap
Step 3: Required Action	
How to close the identifiable gaps?	Ensuring health in all policies are integrated across sections; build capacity for practice
How to generate evidence?	Setting indicators and benchmarks to monitor progress and evaluate impact
Partner and build alliances	Involving other partners, organizations, civil society and communities
Invest in health	Establishing sustainable financial mechanisms

Model for Mainstreaming Health across Sectors/Sub-sectors



Accordingly when mainstreaming health within your cluster, these are the steps you will have to take and questions to ask yourself to ensure that health issues are being considered and addressed appropriately. You will also have to address which role each member (AUC, NEPAD Agency, RECs, AfDB and UN agencies) will be playing in the mainstreaming as it will vary from cluster to cluster and within the different activities of the cluster.

Prioritize

Health is a wide issue so you might also have to prioritize which key components of health that are most relevant to your cluster's work and focus on these after you have completed step one and two above. To help you prioritize, it will also be useful to look at the African Unions decisions and recommendations related to health such as African Health Strategy 2007 – 2015 (CAMH/MIN/5(III)). Another example would be the recent AU decision that addresses one of the greatest challenges of the health sector in Africa which has the highest level of maternal mortality in the world. This affects women's advancement, the family and the community. In the case of HIV and AIDS, it is widely recognized that sectors outside of health need to be involved in responding to the disease. AIDS is more than a health issue. One example would be for agriculture and food security to incorporate possible consequences for people living with HIV in their work. Agricultural practices within AIDS affected communities should for instance be more productive and less labor-intensive.

D. Mainstreaming Climate Change

Mainstreaming Climate Change in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa

1. Background

The Regional Coordinating Mechanism (RCM) was established to improve coherence and coordination among the UN system and other organizations, at regional level and sub-regional levels. The RCM in Africa has its strategic objective to deliver ‘as one’ in support of the African Union and NEPAD programme.

The 9th and 10th meeting of the RCM recognized climate change as a key priority in Africa and embraced the call by the United Nations Secretary-General for the UN system to play a vanguard role in addressing the climate challenge. A number of initiatives and actions have already been developed or put forward by African leaders and stakeholders to address the challenges of climate change in Africa. RCM members took note of these planned and on-going efforts, and resolved to mainstream climate-change issues in the work and activities of all RCM clusters.

On 30 June 2010, the RCM-Africa Secretariat convened a one-day consultation meeting of Cluster/Subcluster Coordinators and Co-coordinators (AUC and UN) on the ‘Functioning of the Cluster System of the Regional Coordination Mechanism (RCM)’. This meeting requested the RCM Secretariat to provide guidance on how climate change can be mainstreamed in the work programme of clusters and sub-clusters.

In order to provide strategic guidance, the RCM Secretariat approached UNEP as the coordinator of the ‘Environment, Population and Urbanisation’ Cluster to prepare a short guidance note on how to mainstream climate change in the activities of RCM clusters/subclusters.

2. Purpose

The aim of the note is to provide RCM members with a tool on mainstreaming climate change into cluster and subcluster workplans and activities. This guidance note also clarifies the role to be played by all members (AUC, NEPAD Agency, RECs, AfDB and UN agencies and organizations) in the integration of the climate change agenda into the activities of cluster and/or sub-cluster.

This guidance note must be read in conjunction with the guidance note developed by the United Nations Development Group (UNDG) titled – Integrating Climate Change Considerations in the Country Analysis and the UNDAF. A Guidance Note for United

Nations Country Teams.¹ The UNDG's Guidance Note provides information on how best to incorporate climate change actions and priorities in the Country Analysis or Common Country Assessment (CCA) and the UN Development Assistance Framework (UNDAF). It also includes a Quick Guide to Mainstreaming Climate Change in the Country Analysis or CCA/UNDAF.

The UNDG developed its guidance note in May 2010 and since then the UNDG has conducted training for regional Delivering-as-One coordinators.

3. Clusters and Subclusters

There are 9 clusters under the RCM, and these clusters generally provide technical and programmatic service in direct response to requests for support from UNCTs or based on the Cluster's proactive service delivery.

There are currently 9 clusters:

- | | |
|---|-----------------|
| 1. Infrastructure development | [UNECA] |
| 2. Governance | [UNDP] |
| 3. Environment, population and urbanization | [UNEP] |
| 4. Social and Human Development | [UNICEF, UNFPA] |
| 5. Agriculture, food security and rural development | [FAO] |
| 6. Science and Technology | [UNESCO] |
| 7. Advocacy and Communication | [OSAA] |
| 8. Peace and Security | [UNDPA] |
| 9. Industry, Trade and Market Access | [UNIDO] |

Sub-clusters

- Water
- Education and Human Resources
- Gender and Development
- Labour and Employment
- Peace and Security Architecture of the AU
- Post conflict Reconstruction and Development
- Human Rights, Justice, and Reconciliation

4. What is Mainstreaming?

The UNDG defines mainstreaming climate change as 'the process by which actions to address the causes and consequences of climate change are implemented as part of a broader suite of measures within existing development processes and decision cycles'. (UNDG, 2010)²

1 The UNDG's Guidance Note is available online at: http://204.200.211.31/contents/file/psg/1952-UNDG-GuidanceNote_ClimateChange.pdf

2 UNDG (2010) –'Integrating Climate Change Considerations in the Country Analysis and the UNDAF. A

In general terms mainstreaming is a systematic process which enables actors to strengthen the ways in which they address a particular thematic issue that is cross-cutting (eg gender, HIV/AIDS and climate change).

In the specific case of climate change, mainstreaming can be seen as a systematic process to ensure that climate change becomes an integral component of development and sector-based programming and activities.

The UNDP- UNEP, Poverty and Environment Initiative offers the following definition for adaptation mainstreaming -

‘adaptation mainstreaming is the iterative process of integrating adaptation considerations into policymaking, budgeting and implementation processes at national, sector and sub national levels. It is a multi-year, multi-stakeholder effort grounded in the contribution of the adaptation to human well-being, pro-poor economic growth and achievement of the MDGs. It entails working with a range of government and non-governmental actors, and other actors in the development field’.

5. Rationale for and Objectives of Climate Mainstreaming

The UN Secretary-General, Ban Ki-moon, has frequently highlighted climate change as “the defining challenge of our times.” The cross-cutting nature of climate change highlights the need for a collaborative effort by UN Country Teams (UNCTs), including the Non-Resident Agencies (NRAs), to provide collective responses in support of national priorities.

Climate change is a development issue because it will have significant impacts on countries’ capacity for economic growth, poverty alleviation and the achievement of the Millennium Development Goals (MDGs). Development policies and planning will have to be adjusted as new threats emerge to water and food security, environmental sustainability, production and public health, among others.

Given the cross-cutting nature of climate change, mainstreaming will ensure that:

- Climate change becomes part of the ‘core business’ of each cluster and sub-clusters
- Delivery by the RCM and its partners is enhanced
- Inter-cluster coordination on climate related activities are strengthened
- Climate change is addressed at national and regional levels in a coherent manner

Guidance Note for United Nations Country Teams’. http://204.200.211.31/contents/file/psg/1952-UNDG-GuidanceNote_ClimateChange.pdf

6. Guiding Principles

There are a number of principles that must be adhered to in order to ensure the effective mainstreaming of climate change.

These principles include:

- *Leadership* – Effective mainstreaming requires leadership and champions at the ‘highest’ levels. RCM-Africa will play an active leadership role in ensuring and monitoring mainstreaming activities.
- *Coordination and collaboration* – Effective mainstreaming will require coordination across the thematic RCM clusters and sub-clusters, as well collaboration and engagement with AUC, NEPAD Agency, RECs, AfDB and other partners.
- *Ownership* – The achievement of mainstreaming is contingent upon bringing together national government partners and building, long-term commitment and ownership of national stakeholders.

7. Mainstreaming Approach

Mainstreaming climate change into existing process and activities of clusters and sub-clusters requires the identification of appropriate entry points.

Once the appropriate entry point has been established, specific actions must be taken to ensure that climate change concerns have been integrated into workplans, activities and projects / programmes. The general principle here is that effective mainstreaming needs to be based on existing functions and procedures, rather than creating new ones.

Below we outline the steps required to mainstream climate change into the workplans and activities of RCM clusters and sub-cluster.

Approach to Mainstreaming	
Step 1:	Update Cluster Terms of Reference to include mainstreaming/integrating climate change The first step is to include climate change in the Terms of Reference of all clusters/ subclusters.
Step 2:	Identify cluster and sub-cluster entry points This component involves finding appropriate entry points (eg cluster workplans; cluster activities; partner / RECs plans; etc) for climate mainstreaming
Step 3:	Implementation Each cluster should develop a short manageable action plan to support the cluster's efforts to mainstream climate change in its activities. Develop a communications and awareness and outreach strategy highlighting the importance of mainstreaming climate change.
Step 4:	Monitoring and evaluation Use RCM monitoring and evaluation framework

8. Practical Actions

Following the overview provide above, each step is explained in detail below.

Step 1: Update Cluster Terms of Reference to include mainstreaming climate change	
	Actions
The first step is to include climate change in the Terms of Reference of all cluster/ subclusters	<ul style="list-style-type: none"> • Review current cluster/ sub-cluster Terms of Reference • Include mainstreaming climate change in the ToRs • Identify resources required for mainstreaming

Step 2: Identify Entry Points	
Suggested Entry Points	Actions
RCM Work Programme/ Business plan	The RCM work programme presents a good entry point, as it is usually reviewed on an annual basis. Use the review exercise to ensure that climate change is included as an important component of the RCM Workplan Ensure that climate change activities are aligned to regional priorities

**Step 2:
Identify Entry Points**

Suggested Entry Points	Actions
Cluster Work Plans/ Business Plans ¹	<p>Identify where the need and opportunities exist in the existing Cluster workplan to include and support climate change related activities. The tool for doing this is provided in Annex 1</p> <p>This action may involve modifying or adding in activities in order to strengthen climate-related activities in work plan</p> <p>Cluster convener and co-convener to lead on this</p>
Existing cluster /sub-cluster activities	<p>Each cluster to make an assessment of how the cluster can contribute to climate related actions at national and regional levels. The tool for conducting such an assessment is provided in Annex 1.</p>
Cluster Partnerships (Regional partners have a number of climate policies and strategies in place, and these provide useful entry points for aligning the RCM's climate activities with regional and REC initiatives)	<p>Work with relevant national and relevant stakeholders to identify climate change activities relevant to partners</p> <p>Identify who is who is doing what</p> <p>Exchange of experiences among regional organizations on climate change issues through effective mechanisms is essential to enhance capacity in serving member countries</p>

**Step 3:
Implementation**

	Actions
Implementation	<p>Draft an action plan with clear responsibilities (template provided in Annex 2)</p> <p>Identify roles and responsibilities of all cluster partners</p> <p>Develop a communications and awareness and outreach strategy highlighting the importance of mainstreaming climate change.</p> <p>Put in place mechanisms and processes for knowledge management and experience sharing</p>

**Step 4:
Monitoring and Evaluation**

	Actions
Monitoring and evaluation	<p>Use RCM monitoring and evaluation framework</p>

9. Kick-Starting the Mainstreaming Process

Each cluster coordinator should lead the implementation of mainstreaming in his/ here respective cluster. This should involve developing short manageable action plans (the template for this is provided in Annex 2). It is recommended that the Delivery-As-One sub regional coordinators deliver a one-day workshop to cluster members on climate change mainstreaming.³ Such a workshop will provide hands-on training on mainstreaming, and will also give greater insight into the UNDG's approach to climate mainstreaming at all levels.

The short action plans will outline the key responsibilities of all actors. Below we provide some guidance on the roles and responsibilities of key stakeholders in the region.

- RCM Africa – Promote a shared vision and commitment to climate mainstreaming. Focus on supporting country teams in mainstreaming climate change into programming activities. Lead coordination of activities and initiatives, collaboration and networking with other regional players in the climate change arena. Provide advice and strategic support to RCM members and partners in their efforts to implement the climate mainstreaming guidance and actions.
- AUC – Identify the climate change priorities as listed in various AU plans and programmes. AUC to share its strategic plan and engage UN agencies on a common mainstreaming approach.
- NEPAD Planning and Coordinating Agency – Provide RCM with list of NEPAD climate policies and strategies. NEPAD has identified climate mainstreaming as an important activity.
- RECs - Coordinate participation of other stakeholders in the region such as civil society and the private sector
- AfDB - The African Development Bank has a well-developed climate change strategy that provides financial support and technical services in the areas of both mitigation and adaptation. The AfDB can leverage strategic partners in the region to effectively mainstream climate change at regional and national levels.
- UN agencies and organizations - Actively contribute to climate related actions at the regional level, through supporting the implementation of AU and NEPAD climate initiatives in the region. In particular work closely with the AUC, ECA and the AfDB on the ClimDev-Africa programme, and the African Climate Policy Centre (ACPC).

³ Regional DOA coordinators attended a training programme on climate change mainstreaming in Turin, in June 2010. The training was coordinated by the UNDG and UNEP

Annex 1: Cluster Entry Points and Suggested Tools

ENTRY POINT	TOOL
Cluster Workplan	<p>Tool: Questions to guide the climate screening of a cluster work plan</p> <p>Does the cluster workplan identify and address climate change risks to programmes and projects? Does the cluster workplan identify and address opportunities to reduce the carbon intensity of development initiatives? Does the cluster workplan identify and address potential opportunities to enhance climate resilience? Does the cluster workplan identify and address potential adaptation measures?</p>

ENTRY POINT	TOOL
Existing cluster /sub-cluster activities	<p>Tool: Questions for review of existing cluster activities</p> <ul style="list-style-type: none"> • Are there opportunities in existing cluster activities to include a focus on climate change? • What are the critical climate-related gaps in the existing cluster information, analysis and understanding • Do existing national/regional planning instruments take climate change impacts into account? • What measures could be taken to climate-proof existing cluster activities? • Which partners are important to the cluster's activities?

ENTRY POINT	TOOL
Cluster partnerships	<p>TOOL: Identify and list relevant climate policies and strategies of cluster partners</p> <ul style="list-style-type: none"> • Identify relevant climate policies and activities undertaken by regional stakeholders • Work with relevant stakeholders to identify opportunities for strengthening regional climate initiatives • Identify gaps • What resources are already available for climate change in the region? • Identify opportunities for collaboration

Annex 2: Template – Short Action Plan on Mainstreaming Climate Change

Key Climate Change Focus Area	Key Action Points			
	Cluster members	Timeframe	Regional Partners	Timeframe
Mainstreaming adaptation into development planning processes (relevant to the cluster)	<p>Mainstream adaptation through the cluster activities, and ensure alignment with other regional initiatives</p> <p>Support dialogue with regional partners</p>		AfDB – AUC –	
Support integration of cc in disaster-risk reduction (this might only be relevant to some clusters)				
Climate change mitigation in Africa				
Resources to support Africa in addressing current and future climate risks				

Annex 3: Further Reading and Resources

Further guidance can also be found in the following reference documents:

1. A Quick Guide to Mainstreaming Climate Change in Country Analysis and the UNDAF (2009)
2. Mainstreaming Adaptation to Climate Change into Development Planning: A Guidance for Practitioners (2010). The Poverty-Environment Initiative (PEI) of the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). Available online at www.unpei.org.
3. Mainstreaming Adaptation to Climate Change in Agriculture and Natural Resources Management Projects. Guidance Note N°1, Engaging Key National Institutions in the Adaptation Agenda. (World Bank)

E. Mainstreaming Human Rights

Mainstreaming Human Rights in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa

1. Introduction

This guidance note aims at providing a brief introduction and guidance on how to mainstream human rights in the work of the clusters of the Regional Coordination Mechanisms of the AU – UN Ten Year Capacity Building Programme. There is a wide range of publications available on mainstreaming human rights, including practical guides to human rights based programming (see for example www.hrportal.org).

2. Obligation to Mainstream Human Rights and Use a Rights-Based Approach to Development

1.1 The United Nations

The United Nations (UN) is founded on the principles of peace, justice, freedom and human rights, as evidenced in the UN Charter. The Universal Declaration of Human Rights lays out the general framework for human rights complemented by the numerous international conventions on human rights. The focus on linkages between human rights and development has been strengthened through the World Conference on Human Rights in Vienna in 1993 and the successive rounds of UN reform initiatives. In 2005, political impetus for human rights mainstreaming was significantly strengthened at the World Summit, in which world leaders reaffirmed that human rights, development and peace and security are three interlinked pillars of the United Nations, and gave explicit support for the integration of human rights into their national policies as well as resolving to integrate human rights into their national policies (A/RES/60/1, para. 126).

Mainstreaming human rights within the UN system has thus been central to a series of UN reform initiatives since 1997. The UN Statement of Common Understanding on Human Rights-Based Approaches to Development Cooperation and Programming (the Common Understanding) was adopted by the United Nations Development Group in 2003. The purpose was to ensure that UN institutions apply a consistent Human Rights-Based Approach to programming.

The Common Understanding states that:

1. All programs of development co-operation, policies and technical assistance should further the realization of human rights as laid down in the Universal Declaration of Human Rights and other international human rights instruments.

2. Human rights standards contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments guide all development cooperation and programming in all sectors and in all phases of the programming process.
3. Development cooperation contributes to the development of the capacities of ‘duty-bearers’ to meet their obligations and/or of ‘rights-holders’ to claim their rights.

1.2 The African Union

The African Union (AU) was established by the AU Constitutive Act, adopted in 2000, which has a significant focus on human rights. Article 3 lists the following objectives of the AU; “(e) encourage international cooperation, taking due account of the Charter of the United Nations and the Universal Declaration of Human Rights; ... (h) promote and protect human and peoples’ rights in accordance with the African Charter on Human and Peoples’ Rights and other relevant human rights instruments;”. The constitutive act also includes respect for democratic principles, human rights, the rule of law and good governance in the guiding principles in Article 4.

The normative African human rights framework is based on the African Charter on Human and Peoples’ Rights and several specific human rights instruments adopted by the AU and its regional economic communities. The AU has adopted some of the most progressive human rights instruments in the world, including the AU Convention on the Protection and Assistance of Internally Displaced Persons in Africa and the Protocol to the African Charter on Human and Peoples’ Rights on the Rights of Women in Africa. The African Charter also explicitly recognized the right to development, as Article 22 of the Charter states that ‘All people shall have the right to their economic, social and cultural development with due regard to their freedom and identity in the equal enjoyment of the common heritage of humankind’; and that ‘States shall have the duty, individually and collectively, to ensure the exercise of the right to development’.

In the AU Commissions Strategic Plan 2009-2012, ‘Shared Values’ forms one of four strategic pillars. Shared Values encompasses seven strategic objectives of which the first is “promoting good governance, democracy and human rights”. This strategic objective of human rights is linked to the following strategies: to strengthen and facilitate the development of coordinated continental human rights promotion and protection; and to promote a rights-based approach to development, including economic, social cultural and environmental rights.

From the above, it is evident that human rights is at the core of the values of both the UN and AU and that both systems have defined objectives to further promote all human rights including the right to development and to integrate them into their work by adopting a rights-based approach. It is therefore not surprising that in the Declaration on Enhancing AU – UN cooperation: Framework for the ten year capacity building framework for the African Union, the parties agreed to place special emphasis on enhancing the AU’s capacities in six areas, including human rights (Article 6 c).

2. Mainstreaming Human Rights and Using a Rights-Based Approach

Through the current emphasis on human rights, mainstreaming human rights has evolved into a method called the human rights based approach. Applying a human rights based approach to programming requires a general understanding about all human rights, including the right to development. It is therefore advisable to be familiar with the main UN and AU human rights instruments and the principles therein.

To understand the implications of human rights in a practical context, it is important to note that governments (as the legal entities signing and ratifying the conventions) are the principal “duty bearers”, the parties with the obligation to uphold, promote and protect human rights. The AU and UN should strive to strengthen the capacities of governments to uphold these responsibilities, both individually and collectively. Identifying states/governments as duty holders is important in clarifying the responsibilities at hand and building appropriate capacity, thereby facilitating and enhancing accountability for upholding and respecting human rights. On the other side, individuals and communities are the main rights holders. Focusing on individuals and communities as rights holders is aimed at shifting the perception of persons from passively receiving benefits to actively identifying needs and claiming rights as appropriate. Participation of rights holders in development programs is expected to ensure that the development initiatives are relevant and useful as well as lead to a higher degree of ownership by the people in the development process. It is important that development programs strive to strengthen the capacities of both duty-bearers and rights-holders as relevant and appropriate. In a practical context, the initial analysis should consider the capacities of both the duty-bearers (for example whether the staff at the municipality have sufficient knowledge to provide services) as well as the capacity of the rights-holder (for example if the people in the community are aware that certain services are available at the municipality) and design the programs taking into account the capacities of all actors. It is particularly important to ensure that civil society is represented in the programming process to an equal extent as government representatives and other relevant actors.

The main principle found in international and regional human rights instruments is the principle of non-discrimination. All persons, irrespective of race, sex, nationality, political opinion etc. should be treated equally. When planning and implementing a program, one of the main considerations should be to identify persons or groups which might be in a disadvantaged or marginalized situation, assess in which way they may be discriminated against and what actions could be taken to strengthen the capacity of both the rights holders and duty bearers in eliminating the discrimination. Empowering marginalized groups is one way to promote the right to non-discrimination but also be strengthening capacity of government officials to address the issue, through awareness and relevant assistance. Many of the groups which are generally marginalized have been protected by specific international and regional human rights instruments, for example in the case of women, refugees, persons with disabilities, children, indigenous peoples’ and minorities.

There is a wide range of human rights addressing economic, social, cultural, civil, political and environmental issues. Some examples are the right to life, right to food and water, right to work, right to a free trial, prohibition of torture, right to education, right to health,

freedom of movement, freedom of expression, and freedom of association. Although human rights sometimes have been categorized differently, it is important to note that all human rights specified in the international and regional instruments are interrelated and interdependent and that there is no hierarchy of rights. Human rights law recognizes that the realization of some rights may be dependent on resources and should be progressively realized. Even under such circumstances, States have immediate obligations to take appropriate steps and monitor progress towards realization of the rights and to ensure non-discrimination.

After obtaining a good understanding about the human rights principles relevant to the cluster's thematic area, the human rights based approach can be applied throughout the clusters' activities and particularly when formulating, implementing and reporting on clusters' business plans and other strategic documents. In fact, it is a formal requirement for UN agencies to use the human rights based approach and the method is also promoted by the AU. In addition, when considering relevant human rights standards, the cluster will have an international, and regional, recognized normative framework on which to build its work. The human rights based approach requires human rights to be integrated in all aspects of the programming process, from the analysis, through implementation to monitoring and evaluation. A good place to start is to identify the relevant human rights standards and principles in a given thematic area, and to consider and articulate them in analysis and development of business-plans and other strategic documents. Some human rights principles are may already be considered, although not explicitly. Articulating the specific rights places the emphasis on the rights-based approach. The relevant human rights principles should then guide the implementation, and follow-up of programs and can add a relevant perspective in all dialogue with partners.

From a HRBA perspective, programmes and activities aimed at capacity development should not only be a technical process in terms of creating additional human, financial and technical resources. Duty-bearers also require capacities in terms of motivation, leadership, responsibility and authority. Therefore, legal, policy and institutional frameworks should be in accordance with human rights standards and should establish concrete procedures and mechanisms for duty-bearers to discharge their obligations and be accountable at the national and local levels. It also entails the empowerment of civil society, including women and other marginalized or discriminated groups, to claim their rights and hold governments to account.

The following specific recommendations may assist in applying a human rights based approach to the work of the clusters of the RCM;

- In the analysis of the challenges at hand, identify the relevant international and regional human rights principles. For example, if the challenge is limited access to ICT, relevant human rights standards could be the right to access to information, freedom of expression or the right to education.
- Consider the identified human rights principles as the normative basis for your work and let all stages of the programming cycle be guided on those principles.
- Articulate the relevant human rights principles when developing or revising your business plan or other strategic documents and planning processes.

- Articulate the human rights principles in dialogue with all partners as well as in reporting, monitoring and evaluation.
- If a situation changes, consider the human rights implications in the new analysis
- Identify who are the rights holders and duty bearers in your current programs. Ensure that rights holders and duty bearers are considered and specified in your business plan and programs. Place special emphasis on including civil society in activities, if not already done. Consider if your programs addresses participation, accountability and ownership to a sufficient extent.
- Identify which groups relevant to your thematic are could be considered vulnerable and/or marginalized. Ensure that vulnerable and/or marginalized groups are considered and specified your business plan and programs.

The guiding principles in human rights based programming can be summarized in the acronym PANEL⁴ as follows;

PARTICIPATION	<ul style="list-style-type: none"> • Create channels of participation for poor and disadvantaged people • Active, free and meaningful – time and resources to develop capacities needed • Adequate capacities are a development result in itself (empowerment)
ACCOUNTABILITY	<ul style="list-style-type: none"> • Objective guidance to set responsibilities • Capacity development: Build on existing strengths and solutions to respond. Target weaknesses and vulnerabilities. • Include civil society oversight elements • Strengthen risk analysis
NON-DISCRIMINATION, EQUALITY AND ATTENTION TO VULNERABLE GROUPS	<ul style="list-style-type: none"> • Identify most vulnerable groups and target them explicitly • Develop data disaggregation
EMPOWERMENT	<ul style="list-style-type: none"> • Target necessary capacities to claim and exercise rights – build on existing strengths and solutions, target weaknesses and vulnerabilities. • Linked to active, free and meaningful participation
LINKAGES TO HUMAN RIGHTS STANDARDS	<ul style="list-style-type: none"> • Standards are a roadmap to the scope of the problem and the desired results – they also prevent “capture” of decisions and set minimum guarantees for poor and disadvantaged groups • Stress on monitoring progressive results and assessing the risk of setbacks

4 “A human Rights Based Approach to Programming – Primer for Practitioners, Amparo Tomas, April 2005, <http://hrbaportal.org/wp-content/files/1281468020rbapprimer.pdf>

F. Mainstreaming Employment and Decent Work

Mainstreaming Human Rights in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa

1. Introduction

The 10th Session of the Regional Coordinating Mechanism of UN Agencies and Organizations Working in Africa in support of the African Union and its NEPAD Programme that took place in November 2009, recommended, inter alia, that the RCM should mainstream into its cluster system, among others, Employment and Decent Work, taking into account the global jobs pact and paying particular attention to Youth Employment.

In this regard, the Employment and Labour sub-Cluster would like to share ideas on how best to implement such mainstreaming. The short write up deals with the definition of decent work and attempts to demonstrate how such mainstreaming could be implemented within the cluster system.

2. Decent Work

Decent work is defined by the ILO and endorsed by the international community as productive work for women and men in conditions of freedom, equity, security and human dignity. Decent work involves opportunities for work that: is productive and delivers a fair income; provides security in the workplace and social protection for workers and their families; offers prospects for personal development and encourages social integration; gives people the freedom to express their concerns, to organize and to participate in decisions that affect their lives; and guarantees equal opportunities and equal treatment for all.

Work is central to people's well-being. Productive employment is one of the key means of distribution of economic development since a major portion of family income, and the livelihood of individuals, essentially stems from earnings generated with their labour. Work is a source of personal dignity, family stability, peace in the community, democracies that deliver for people. Policies that address the multiple dimensions of poverty – economic, human, socio-cultural, political, protective, gender and environmental – are mutually reinforcing and must go hand in hand. Progress in one dimension will accelerate progress in others. For example, economic growth that is effective in reducing poverty will generate revenues for education and health services. Further increased access for young people to education and employment can unlock the productivity of a large percentage of the population; and thus boost growth.

Decent work for sustainable development means that in social terms, jobs must be open to all equally and the related rewards have to be equitable. Inequality and discrimination provoke frustration and anger, and they are a recipe for social dislocation and political

instability. Extending opportunities for decent work to more people is a crucial element in making increased trade and globalization more inclusive and fair. In economic terms, jobs have to be productive and able to compete on a competitive market. The challenges posed by environmental change affect not only social and economic development, but also the world of work. Environmental degradation is linked to unsustainable production and consumption patterns that undermine the livelihoods of the working poor. However, sustainable production and consumption – as well as environmental protection and regeneration – are also potential sources of employment and income. Thus sustainable development must start with work.

Inadequate education and skills development keep economies trapped in a vicious circle of low education, low productivity and low income. Family income and the availability of decent work for adults are determining factors in parents' decision to send their child to school. Creating decent work for parents is the third key factor in the ILO's contribution to the achievement of universal education. Elimination of child labour is crucial since the educational achievement of children who combine work and school often suffers, and they often drop out of school for full-time work. To achieve improved educational outcomes it is essential to invest in skilled and motivated teachers. The extent to which teachers' voices are heard often determines the success or failure of education reforms. The decline in teachers' working conditions and salaries is a key reason for the shortage of teachers in Africa.

Africa is in urgent need of a major improvement in the physical infrastructure for development. Progressing towards universal access to basic needs like food, shelter, water, health, education and sanitation leads to a steady improvement in worker productivity and generates employment opportunities in the construction, energy and related industries. The development of infrastructure lends itself to more employment-intensive techniques which create opportunities for local job creation that serve as a form of social floor for low-income families. Ensuring strong linkages between infrastructure projects and local economies requires an equal investment in better social infrastructure facilities like support for rural micro, small and medium enterprises (MSMEs) and cooperatives. The provision of basic services such as water, electricity and sanitation to the growing African urban centres provides the opportunity for employment generation, particularly if small and medium enterprises receive the training and financial services support to participate.

Agriculture plays a pivotal role in the growth and structural transformation of economies. Growth originating in agriculture is particularly effective in reducing poverty because so many poor people reside in rural areas. Agricultural productivity determines food prices and has a major influence on rural incomes and wage costs. Many African countries retain comparative advantages in primary activities (agricultural and natural resources) and experience strong multiplier effects of growth in agricultural output. Historically, agricultural growth was the precursor to growth elsewhere in the economy and although conditions today do not mirror those previously experienced by developed countries, the nature of agriculture as the foundation for early growth is well established. The insight that employment is the missing link between growth and poverty reduction and the recognition that sustainable poverty reduction requires simultaneously social policy transfers, investments in social and physical infrastructure and good labour market performance, constitute key

policy orientations for any country to succeed in reducing poverty in rural areas.

Good governance and stronger government institutions provide the framework for generating more and better jobs. Generating decent work calls for better management of development policies. Good governance requires strengthening the capacity of the state; strengthening civil society; boosting democracy, voice and representation, including through giving effect to freedom of association and social dialogue; better delivery of services, through decentralization, community driven and territorial approaches; and, at the international level, trade reforms.

3. The Decent Work Mandate in Africa

African leaders have endorsed the Decent Work agenda in a Plan of Action adopted by the African Union Head of States and Governments' Summit on Poverty Alleviation and Employment (Ouagadougou, September 2004). It aims at placing employment at the centre of national, regional and continental development frameworks and policies. At the country level this is done through the development and implementation of Decent Work Country Programmes, which are increasingly becoming part of national development frameworks and poverty reduction strategies.

The 2005 World Summit of the UN General Assembly has also made a commitment to support Fair Globalization and making the goals of full and productive employment and decent work for all including women and young people a central objective of relevant National development strategies, including poverty reduction strategies, as part of efforts to achieve the Millennium Development Goals. The commitment was further reaffirmed in July 2006 by ECOSOC Ministerial Declaration which recognized the Decent Work Agenda as an important instrument for achieving the objective of full and productive employment and decent work for all.

In February 2008, the United Nations Commission for Social Development also adopted a Resolution on promoting full employment and decent work for all that reaffirmed that *“there is an urgent need to create an environment at the national and international levels that is conducive to the attainment of full and productive employment and decent work for all as a foundation for sustainable development and the environment that supports investment, growth and entrepreneurship is essential to the creation of new job opportunities, and also reaffirms that opportunities for men and women to obtain productive work in conditions of freedom, equity, security and human dignity are essential to ensuring the eradication of hunger and poverty, the improvement of economic and social well-being for all, the achievement of sustained economic growth and sustainable development of all nations and a fully inclusive and equitable globalization”*. Full and productive employment and decent work for all, including women and young people as the most effective route out of poverty has also been confirmed with the adoption of a new target (1.B) under the MDG 1 to achieve employment and decent work for all.

4. Mainstreaming Employment and Decent Work

Mainstreaming decent work implies the systematic and informed incorporation of decent work into policies, programs and activities. Achieving this goal requires awareness and knowledge of the concept, an assessment of existing policies, program and activities of the agencies to determine how these are interlinked with employment and decent work outcomes and an identification of how decent work outcomes can subsequently be enhanced in all activities.

The ILO has received the mandate to assist other UN agencies to mainstream decent work. To this end, the organization has developed tools such as the *Toolkit for mainstreaming employment and decent work* which was developed at the request of the UN Chief Executives Board (CEB) and has been endorsed by all the member organizations of the CEB. The Toolkit provides a diagnostic and awareness raising checklist of questions for self-assessment and a web based knowledge sharing platform. In order to mainstream decent work into the work of RCM Africa's nine cluster groups, the Employment and Labour sub-Cluster proposes a series of workshops, firstly with the officials working across each cluster to raise their awareness and knowledge on the concept. The pre-RCM could be used for this purpose to bring awareness of the CEB Toolkit on mainstreaming employment and decent work into programmes and policies. This would be followed by a two-day workshop with each individual cluster/sub-Cluster.

The initial one-day workshop with the cluster and sub-cluster chairs would focus on improving their understanding of the Decent Work Agenda and how it is linked to each of the clusters' mandate. As a result of the workshop, participants would have developed a common understanding of what decent work means and how it could be integrated into the programmes and activities of each cluster.

The following two-day workshops with members of each cluster would provide an opportunity to go further in depth by helping them to go through an assessment of their specific policies, programs and activities using the self-assessment checklist of the CEB Toolkit. Through practical activities, these workshops would permit each cluster to take stock of how their programs and activities affect decent work in the country and how mainstreaming decent work could in turn help enhance their own outcomes. The workshop would also allow the members of the clusters to identify specifically where and how improvements could be made to enhance the decent work outcomes. For example, in the case of the Agricultural Food Security and Rural Development cluster, the extension of microinsurance and social security for rural workers would increase their resilience to shocks and enhance their quality of life; thus contributing to agricultural development in the larger sense.

At the end of the workshops, each cluster would have identified priority areas for integrating decent work into their activities collectively and as individual agencies. In addition, whenever possible, the participants should identify and evaluate existing materials, publications and tools available for improving employment and decent work outcomes in their fields of competence.

The Employment and Labour sub-Cluster would continue to work with the participants and to provide support beyond the workshops. Making use of the Toolkit knowledge sharing platform, participants would be provided a space to continue discussion and to exchange ideas and best practices in order to achieve the aim of mainstreaming employment and decent work.

G. Mainstreaming Gender Equality

Mainstreaming Gender Equality in the Work of the Clusters and Subclusters of the Regional Coordination Mechanism (RCM) for Africa

1. Rationale for Mainstreaming Gender

1. There is growing recognition that gender equality is not only a key human rights issue but is also integral to achieving development goals. In this manner, the issues of women's rights and empowerment have been re-conceptualized to concern all peoples and their societies in pursuit of their development and well-being. Gender Mainstreaming is therefore a globally accepted strategy for promoting gender equality to enhance such objectives. Mainstreaming is not an end in itself but a strategy, an approach, and a means to achieve gender equality.
2. Mainstreaming involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities – annual plans, policy development, advocacy and dialogue with partners including the African Union, resource allocation including technical assistance, and monitoring of programmes and projects.⁵
3. Mainstreaming does not mean that targeted activities to support women are no longer necessary. Targeted initiatives focusing specifically on women or the promotion of gender equality are important for reducing disparities, serving as a catalyst for promotion of gender equality and creating a constituency for changing the mainstream since most women exist within societal contexts wherein they are already at a disadvantage based on gender discrimination. Hence, women-specific initiatives can create an empowering space for women and act as an important incubator for ideas and strategies that can be transferred to mainstream interventions.⁶
4. In 2000, 189 UN member states adopted the Millennium Declaration which set out key goals and targets necessary for the elimination of poverty. Taken from the Declaration, Goal 3 of the Millennium Development Goals (MDGs) lists gender equality and the empowerment of women as a key objective to ending poverty. Women and the poor make the majority of the world's population, their perspectives and experiences make them a major source of transformation of the ways in which we understand development. While MDG 3 focuses on promoting gender equality and empowering

5 (Office of the Special Adviser on Gender Issues and Advancement of Women (OSAGI)

6 (OSAGI, IMPORTANT CONCEPTS UNDERLYING GENDER MAINSTREAMING)

women, there is now broad recognition that gender equality is both a goal in itself, as well as a means towards the achievement of all the MDGs.⁷

5. The rationale for gender mainstreaming is also rooted in the commitments made by African states through the ratification of various international and regional instruments that specify obligations for achieving gender equality and the empowerment of women.
6. Article 3 of the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) states that states parties must take appropriate measure and legislation to ensure the full development and advancement of women for the purpose of guaranteeing them their basic human rights and freedoms (CEDAW Art.3). CEDAW has been ratified by almost all the AU member states.
7. The AU commitment to gender equality is entrenched in its Constitutive Act, the Protocol to the African Charter on Human and People's Rights on the Rights of Women in Africa, its Gender Policy and Action Plan, and the Solemn Declaration on Gender Equality in Africa (SDGEA). The Constitutive Act states that the AU "shall function in accordance with the promotion of gender equality" while the AU Gender Policy reinforces this commitment by calling for gender to be mainstreamed in the work of all organs and bodies of the AU in order to better "adopt a rights based approach to development through evidence-based decision-making and the use of gender-disaggregated data and performance indicators for the achievement of gender equality and women's empowerment in Africa..."
8. Article 4 of the SDGEA specifically states members will commit to "initiate, launch and engage ... public campaigns against gender based violence ... and to reinforce legal mechanisms that will protect women at the national level and end impunity of crimes committed against women."
9. The AU's Gender Directorate is the mechanism created to advance gender equality through the use of gender mainstreaming policies. Gender issues must be more effectively mainstreamed into the activities of all clusters. Article 12(3) of the Statutes of the AU Commission specifically provides that, because "gender issues are cross-cutting through all the portfolios of the Commission, a special unit shall be established in the Office of the Chairperson to co-ordinate all activities and programmes of the Commission related to gender issues." The Statutes locate the internal gender machinery of the AU under the Chairperson of the Commission, who has the ultimate responsibility for gender mainstreaming within the AU.
10. The AU has declared 2010-2020 as the Decade for Women in Africa, with the aim of mobilising all stakeholders to initiate and strengthen actions towards gender equality and women's empowerment.

7 (UN Women, Fact and Figures)

11. The United Nations system in its support to the AU must integrate gender equality and women's empowerment across sectors through the cluster system of the RCM.
12. The UN system is obligated to abide by and support the implementation of UN human rights treaties and outcomes of the various UN conferences. The promotion of gender equality and women's human rights has been central to many of them including CEDAW, the Convention on the Rights of the Child, and the UN Security Council Resolutions 1325, 1820, 1888 and 1889 on women's role in conflict prevention, resolution and peace building and the prevention of violence against women and girls in conflict situations.
13. Of particular importance among outcome documents from UN conferences for mainstreaming gender equality are the Beijing Platform for Action (1995), the Vienna Declaration and Plan of Action (1993), the Cairo ... (1994), and the Copenhagen ... on Social Development (1995).

2. Definitions⁸

1. Gender

Gender refers to the social attributes and opportunities associated with being male and female in a particular society, and the relationships between women and men and girls and boys, as well as the relations between women and those between men. These attributes, opportunities and relationships are socially constructed and are learned through socialization processes. They are context, time-specific and changeable. Gender determines what is expected, allowed and valued in a woman or a man in a given context. In most societies there are differences and inequalities between women and men in responsibilities assigned, activities undertaken, access to and control over resources, as well as decision-making opportunities. Gender is part of the broader socio-cultural context of any development intervention.

2. Gender equality

Gender equality refers to the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not mean that women and men will become the same but that women's and men's rights, responsibilities and opportunities will not depend on whether they are born male or female. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration – recognizing the diversity of different groups of women and men. Gender equality is not a 'women's issue' but should concern and fully engage men as well as women. Equality between women and men is seen both as a human rights issue and as a precondition for, and indicator of, sustainable people-centred development.

8 Taken and/or adapted from the UNDP Manual, African Union Gender Policy; www.un.org/womenwatch/osagi/conceptsanddefinitions.htm; www.usaid.gov/our_work/cross-cutting_programs/wid/gender/gender_analysis_terms.html

3. Gender Equity

Gender equity means the just and fair distribution of benefits, rewards and opportunities between women, men, girls and boys. Gender equity denotes an element of interpretation of social justice, usually based on tradition, custom, religion or culture, which is most often to the detriment to women.

4. Empowerment

The empowerment of women concerns women gaining power and control over their own lives. It involves awareness-raising, building self-confidence, expansion of choices, increased access to and control over resources and actions to transform the structures and institutions which reinforce and perpetuate gender discrimination and inequality. The process of empowerment is as important as the goal. Empowerment comes from within; women empower themselves and can be supported. Inputs to promote the empowerment of women should facilitate women's articulation of their needs and priorities and a more active role in promoting these interests and needs. The different clusters and sub-clusters should for instance support the participation of women and their organisations in different AU policy and programme processes. The empowerment of women cannot be achieved in a vacuum; men must be brought along in the process of change. Empowerment should not be seen as a zero-sum game where gains for women automatically imply losses for men. Increasing women's power in empowerment strategies does not refer to power over, or controlling forms of power, but rather to alternative forms of power: power to; power with and power from within which focus on utilizing individual and collective strengths to work towards common goals without coercion or domination.

5. Gender Mainstreaming

Mainstreaming a gender perspective is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in any area and at all levels. It is a strategy for making the concerns and experiences of women as well as of men an integral part of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated. The ultimate goal of mainstreaming is to achieve gender equality" (UN ECOSOC).

6. CEDAW

The Convention on Elimination of All forms of Discrimination against women (CEDAW) provides the basis for realising equality between men and women through ensuring women's access to, and equal opportunities in, political and public life; and state parties have agreed to take appropriate measures including legislation and temporary special measures so that women can enjoy human rights and fundamental freedoms.

Gender Analysis

Gender analysis refers to the qualitative and quantitative assessments to determine the differential impacts of development activities on women and men and the effect that gender roles and responsibilities have on development efforts and to trace the historical, political, economic, social and cultural explanations for these differentials (McGregor and Basso, 2001)

Gender Awareness

Gender awareness refers to the recognition of the differences in the interests, needs and roles of women and men in society and how they result in differences in power, status and privilege. It also means the ability to identify problems arising from gender inequity and discrimination.

Gender Balance

Gender balance means the participation of an equal number of women and men within an activity or organisation. Examples are representation in committees or in decision making structures. The participation must be substantive i.e. an equal number of qualified women, able to articulate issues in the context in which their participation is sought or promoted. It is a strategy for enhancing women's voice and perspectives in different policy forums.

Gender Blind

An initiative or policy is gender blind if potentially differential policy impacts on men and women are ignored or appears neutral because it is couched in abstract, generic categories but is implicitly male biased.

Gender Neutral

The assumption that policies, programmes and project interventions do not have a gender dimension and therefore affect men and women in the same way. In practice, policies intended to be gender neutral can be gender blind.

3. Gender Mainstreaming Assessment Tool

CLUSTER/ SUB-CLUSTER: _____

This document is designed for creating a baseline assessment of the gender mainstreaming capacity of a Cluster or Sub-Cluster. Space is provided for review on a semi-annual basis. Please refer to the response key provided below, combining responses from both columns when appropriate (e.g., Y, FW or Y, NF).

Response key

Y=Yes F = Functioning

N = No FW = Functioning Well

ID = In Development NF = Not Functioning

UA=Unable to answer

1	Policy Document on Gender Mainstreaming at Cluster level exists.
2	Consultations with gender sub-cluster/ AU Gender Directorate have taken place during planning process or cluster has internal gender expertise
3	Annual Cluster workplan integrates Gender equality and women's empowerment outputs, indicators and activities
4	Cluster has identified capacity needs relevant to achieving the gender equality objectives and has an appropriate strategy for responding to any gaps
5	A mechanism for regular consultation with women's and gender-sensitive organisations in place

H. Business plan

Business Plan Description and Template

1. **Thematic Focus:** should identify in consultation with all stakeholders the broad areas of focus of the cluster activities in the following three years. The underlying framework for choosing a thematic focus for the cluster should be based on or in line with the AU/NEPAD Action Plan (2010-2015) and AU Strategic Plan (2009-2012) and their priorities.
2. **Objective:** should be concrete statements describing the desired achievement or outcome within the specified thematic focus with the aim of meeting the priority needs of the African Union within a given period of time. Please note that objectives should describe the intended achievements or outcomes, rather than the intended actions or activities of the cluster/subcluster. In setting the objectives, clusters/subclusters should follow the **SMART** principle: Specific, Measurable, Achievable, Relevant and Time-framed.
3. **Expected Output:** should describe the outputs (products and services) that will be delivered by a Cluster/Subcluster to meet the stated objectives with the resources provided and within the time period specified.
4. **Indicators:** should describe how expected accomplishments will be measured. Indicators can be quantitative measures or qualitative observations and should measure the extent to which objectives and/or results have been achieved. Setting clear indicators in a business plan is critical for monitoring, evaluating and reporting achievements. Good indicators should be set in such a way that they are measurable, precise (not ambiguous), consistent (can be measured over time), sensitive (changing proportionately in response to actual changes) and time bound. The indicators should feed into the Monitoring and Evaluation Framework that should be considered as part of the Business Plan.
5. **Resource Mobilization:** Each cluster/subcluster will have to develop its own strategy based on its activities.
 - Each cluster/subcluster should mobilize its own resources.
 - Clusters/subclusters may seek assistance from the RCM-Africa Secretariat if necessary.
 - Clusters/subclusters that have similar or complementary activities can bring resources together for joint implementation of programmes or activities.

**[Name of Cluster]
BUSINESS PLAN**

Guide

- Business plan should be prepared on the basis of AU/NEPAD Action Plan (2010-2015) and AU Strategic Plan (2009-2012).
- Priority areas are based on AUC priorities for 2010-2012.
- Identified priority areas should have corresponding activities (achievable activities), measurable indicators and concrete outputs.
- Participating agencies should identify the relevant AU instruments and policy documents.
- The UN/AU Ten Year Capacity Building Programme is the overall guiding instrument for the cluster.
- Any recommendations from meetings of the RCM should be considered

Thematic Focus	Objective	Relevant AU Instruments/ Policy Documents	Key Joint Activities	Expected Output	Indicators	Collaborating Agencies	Time Frame	Resources
	Priority 1 –							
	Priority 2 –							

I. TYCBP Work Programme

Example Template for TYCPB Work Programme

Thematic Areas/Clusters	Objectives (Refer to AU ICBP document)	Expected accomplishment	Performance Indicator	Activities	Responsibilities	Time-frame	Resource Requirement
III. ENVIRONMENT, POPULATION AND URBANISATION							
(i) Critical mass of skills, knowledge and expertise Human Capital Development Organization Development	Build capacities to promote sustainable natural resources development and management	Capacity of DREA enhanced in : Mainstreaming climate change Natural resource management Policy development and analysis	Number of staff trained and projects developed Number of staff trained in policy development and analysis	Development of Training materials and tools based on existing programmes Organize training workshops for AUC and RECs staff	AUC & UN	Two years	
(ii) Organizational instruments, processes and mechanisms Legal and Institutional Framework Organizational Development	•AUC providing consolidated leadership and guidance in Africa's transition to Low Carbon and Resource efficient development	An African Green Economy Partnership (AGEP) developed as a strategic regional mechanism Synergies and cooperation promoted between RCM clusters	Regional support mechanism for low carbon and resource efficient development put in place Number of inter-cluster joint activities and engagement	Organize Regional and sub-regional training forums and promote public awareness Facilitate advisory support services to AUC member states	AUC & UN	Five years	

J. Programme Implementation Plan

Template

Output	Related Expected Accomplishment	Main Tasks	Period	Collaborating Agencies	Focal Points (Agencies Responsible)	Resources Required
TYCBP Work Programme	More effective implementation of TYCBP-AU	<ul style="list-style-type: none"> -Prepare Concept Note -Recruit Consultant -Organise Retreat -Prepare and review draft report -Present draft report to RCM 		<ul style="list-style-type: none"> All clusters AUC NPCA 	RCM Secretariat	\$300,000

K. Cluster Reports

The RCM-Africa Secretariat has prepared the reporting format below to assist clusters in preparing their respective reports. Clusters should refer to the following documents in preparing cluster reports:

- The outcome document of the last Session of the RCM;
- The United Nations Ten Year Capacity Building Programme for the African Union: First Triennial Report (2006-2009)
- The Key Recommendations of Sessions of the Regional Coordination Mechanism (2006-2012);
- Sample Template for Business Plan; and
- Monitoring and Evaluation Framework
- TYCBP-AU Work Programme

Reporting by All Clusters

I. The Cluster System of the RCM

1. Accountability/Structural/Systemic

- 1.1. Meetings held, dates, objectives, outcomes and follow-up actions
- 1.2. Preparation and adoption of Three-Year Business Plans
- 1.3. Preparation of annual Programme Implementation Plan
- 1.4. Joint activities implemented in the context of the cluster system (including overlapping programmes merged and implemented jointly)
- 1.5. Alignment of cluster plans and activities with the UN Ten Year Capacity Building Programme for the AU, the strategic plans of the AU Commission and the NEPAD Agency and relevant Decisions of the AU and RECs and outcomes of AU Sectoral Ministerial Bodies
- 1.6. Addressing cross-cutting issues: gender, human rights, health, culture, youth and employment, regional integration and climate related issues in the plans and activities of clusters

2. Coordination/Collaboration

- 2.1. Inter-cluster communication and collaboration (joint meetings, joint activities, information shared, etc)
- 2.2. Participation of the AU Commission, the NEPAD Agency, the RECs and the AfDB in cluster activities

3. Resources and Capacity Building Support (human, technical, financial and material) to:

- 3.1. The AU Commission
- 3.2. The NEPAD Agency

3.3. The RECs

4. Monitoring and Evaluation

4.1. Monitoring and evaluation should be considered as part of the Cluster business plan. In this regard, business plans should include clear indicators which describe how expected accomplishments will be measured. Indicators can be quantitative measures or qualitative observation and should assist in measuring the extent to which objectives and/or results have been achieved. Good indicators should be set in such a way that they are measurable, precise (not ambiguous), consistent (can be measured over time) and sensitive (changing proportionately in response to actual changes).

4.2. Availability of monitoring data and information

4.3 Reporting to the RCM Secretariat

5. Communication/Outreach/Advocacy

5.1 Information provided by the AU Commission, the NEPAD Agency and RECs to Clusters (particularly the advocacy and communication cluster) and the RCM Secretariat to facilitate communication and advocacy activities

5.2 Advocacy and communication activities undertaken in support of the AU and its NEPAD Programme, as well as RECs

J. Achievements, results and impacts

I. Challenges and constraints

II. Lessons learned and the way forward

III. Attachments

- Matrix with expected accomplishments, details of activities, participating cluster members, results, remarks-e.g. lessons learned
- Information about cluster/sub-cluster- e.g. names of coordinators/co-coordinators, contact details
- Report/minutes of meetings
- Cluster/sub-cluster business plan
- Cluster annual Programme Implementation Plan

(Footnotes)

1 Clusters are required to develop 3-year Work Plan s

