SADC POLICY

Strategy Development, Planning, Monitoring and Evaluation

SADC Policy for Strategy Development, Planning, Monitoring and Evaluation

Approved by SADC Council of Ministers,
February 2012

LIST OF ABRREVIATIONS AND ACRONYMS

CSOs	Civil Society Organisations
DES	Deputy Executive Secretary
ES	Executive Secretary
HR	Human Resources
IA	Institutional Assessment
ICP	International Co-operating Partner
KRA	Key Result Area
LogFrame	Logical Framework
M&E	Monitoring and Evaluation
MTREF	Medium-Term Revenue and Expenditure Framework
MTR	Mid-Term Review
MTS	Medium Term Strategy
NCP	National Contact Point
OVI	Objectively Verifiable Indicator
PMS	Performance Management System
PPRM	Directorate of Policy, Strategic Planning & Resource Mobilisation
RBM	Results Based Management
REC	Regional Economic Community
RISDP	Regional Indicative Strategic Development Plan
SADC	Southern Africa Development Community
SIPO	Strategic Indicative Plan for the Organ on Politics, Defence and Security Cooperation
SNC	SADC National Committee
SPME	Strategy Development, Planning, Monitoring and Evaluation
TOR	Terms of Reference
URMIS	United Regional Monitoring Information System

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1.0   INTRODUCTION

1.   The SADC Treaty (Article 14) defines the SADC Secretariat as the principal executive institution of SADC whose core functions are to provide leadership in fulfilling the core functions of "strategic planning and management of programmes of SADC, monitoring and evaluation of implementation of regional policies and programmes" amongst others. The framework within which those functions are exercised is underpinned by policy and procedural provisions incorporated in :

     i)   The SADC Treaty;

     ii)   The RISDP and the SIPO; and

     iii)   The Financial Regulations and Procedures.

2.   The centralization of responsibilities at the Secretariat, including planning, the implementation of Summit and Council decisions, overall strategic planning, monitoring and evaluation, and resource mobilisation, has been a key feature of the reform process in SADC which started in 2001. The restructuring of SADC Institutions led, among other things, to a clustering of areas of regional cooperation and integration and to a centralization of operations at the SADC Secretariat as opposed to the decentralised approach followed at the inception of the Organization in 1980. This process was accompanied by a reprioritization of the Cooperation and Integration Agenda as well as by a review of policies and strategies which was translated into the Regional Indicative Strategic Development Plan (RISDP) and Strategic Plan of the Organ (SIPO) adopted in 2003.

3.   This policy seeks to strengthen the framework within which the Secretariat shall perform its mandate with regard to the development of strategic options to facilitate decision making on SADC priorities, the establishment of appropriate plans to enable sound allocation of resources, conduct monitoring and evaluation. It applies a results based management approach to obtain the necessary synergies in order to strengthen SADC capacity in achieving its strategic objectives.

2.0   PURPOSE, OBJECTIVES AND SCOPE

2.1   Purpose

4.   The purpose of this policy is to strengthen SADC's decision making process regarding priority setting, resource allocation and programme management to improve performance towards SADC's objectives.

2.2   Objectives

5.   The specific objectives of the policy are:

   i)   To consolidate the institutional mechanisms for SADC Secretariat to improve its capacity in exercising strategy development, planning, monitoring and evaluation functions;

   ii)   To enhance the capacity of the Secretariat in mobilising resources and coordinating organisational efforts and stakeholder support towards SADC priorities;

   iii)   To provide effective mechanisms for reporting progress towards and achievement of targeted results based on evidence at different levels (Secretariat, Member States, Projects etc)

   iv)   To enhance learning, ownership, commitment and accountability for results to all SADC stakeholders

2.3   Scope of the policy

6.   This policy sets out the framework which will allow the gradual harmonization and upgrading of processes concerning the management of resources of SADC to achieve its regional integration and regional cooperation objectives. It defines the critical measures that need to be taken by the relevant SADC institutions as well as roles

and responsibilities related to the following functions:

i)   Strategy Development;

ii)   Planning;

iii)   Monitoring; and

iv)   Evaluation

7.   It also articulates the linkage between those functions and the Budgeting function as well as the Resource Mobilisation function, which are both governed by specific instruments, with a view to ensure a coherent policy framework and effective and efficient use of SADC resources.

8.   The policy sets the basis for the subsequent development of appropriate tools, including guidelines and systems, that will define the processes through which strategy development, planning, monitoring and evaluation will be conducted on a day-to-day basis and that will provide details on how coordination with Budgeting, Resource Mobilisation and other related functions and processes will be done.

9.   The policy encompasses operations which are initiated by SADC as well as those which are initiated in cooperation with partners, including International Cooperating Partners, other Regional Economic Communities and Regional Institutions unless otherwise defined by the respective cooperation agreements.

3.0 GUIDING PRINCIPLES

3.1 RISDP and SIPO principles

10. The processes regarding strategy development, planning, monitoring and evaluation in SADC shall apply the key principles pertaining to implementation of the RISDP and SIPO in particular:

   i) Additionality;
   ii) Subsidiarity;
   iii) Variable geometry; and
   iv) Development Orientation[1]

3.2 Risk awareness

11. Factors that are likely to affect the successful the achievement of SADC objectives will be systematically assessed and appropriate measures for mitigation will be undertaken as defined in the Risk Management Policy;

3.3 Results based management principles

12. Results based management principles shall be adhered to, namely:

   i) Focusing on the achievement of results that contribute effectively towards achieving the SADC mission
   ii) Improving institutional knowledge with regard to factors which affect its operations;
   iii) Improving decision making; and
   iv) Promoting an accountability culture towards results.

3.4 Specific principles regarding Monitoring and Evaluation

13. Monitoring and Evaluation processes will be undertaken on the basis of internationally recognized professional standards and values, in particular:

   i) **Utility:** Monitoring and evaluation must serve the information needs of intended users. Stakeholders, evaluators, and units commissioning

[1] RISDP Chapter 6

evaluations shall endeavour to ensure that the work is well informed, relevant, and timely, and is clearly and concisely presented so as to be of maximum benefit to stakeholders. M&E reports should present the evidence, findings or issues, conclusions, and recommendations in a complete and balanced way. They shall be both results-and-action-oriented.

ii) **Credibility**: Monitoring and evaluation shall be credible and based on reliable data or observations. This implies that monitoring and evaluation reports shall reflect consistency and dependability in data, findings, judgements, and lessons learned with reference to the quality of instruments and procedures and analysis used to collect and interpret information. Monitoring and evaluation at the project and programme levels shall use, as much as possible, dynamic and pragmatic techniques and indicators for measurement of results and progress.

iii) **Transparency**: Transparency and consultation with the major stakeholders are essential features in all stages of both M&E processes. This involves clear communication concerning the purpose of the evaluation or monitoring activity, the criteria applied, and the intended use of the findings. Documentation emanating from monitoring and evaluations in an easily consultable and readable form should also contribute to both transparency and legitimacy. Evaluation and monitoring reports shall provide transparent information on sources, methodologies, and approach.

iv) **Ethical**: Monitoring and evaluation shall provide due regard for the welfare, beliefs and customs of those involved or affected, avoiding conflict of interest. Evaluators must respect the right of institutions and individuals to provide information in confidence. Ethical monitoring and evaluation require that management and/or commissioners of evaluations remain open to the findings and do not allow vested interests to interfere with the evaluation

v) **Independence**: Members of independent evaluation teams should be independent from both the policy-making process and the delivery and management of development interventions. In particular,

they should not in person have been engaged in the activities to be evaluated or been responsible in the past for the design, implementation, or supervision of the project, or policy to be evaluated.

vi) **Impartiality**: Evaluations must give a comprehensive and balanced presentation of strengths and weaknesses of the policy, program, project, or organizational unit being evaluated. The evaluation process should reflect impartiality at all stages and take into account the views of all stakeholders. Units commissioning evaluations should endeavour to ensure that evaluators selected are impartial.

vii) **Competencies and Capacities:** Depending on the subject, monitoring and evaluation activities require a range of expertise that may be technical, environmental, or within a social science or the evaluation profession. Units commissioning evaluations are responsible for selecting independent-minded, experienced, and sufficiently senior evaluators, and adopting a rigorous methodology for the assessment of results and performance. Evaluations of SADC activities shall make the best possible use of regional expertise, both technical and evaluative. The SADC partners, as feasible, cooperate to stimulate evaluation capacity development at the regional level.

4.0 CONSOLIDATING INSTITUTIONAL MECHANISMS FOR STRATEGY DEVELOPMENT, PLANNING, MONITORING AND EVALUATION

14. Strategy development, Planning, Monitoring and Evaluation functions in SADC will work through iterative learning cycles whereby the organisation will:

    i) Interpret the opportunities and threats presented by changing circumstances in order to set priorities (strategy development);

    ii) Determine the best way of achieving realistic targets within a specific timeframe given its available resources (planning);

    iii) Establish the necessary control mechanisms to provide evidence-based feedback on implementation to advance the organisation's objectives (monitoring); and

    iv) Conduct investigations on whether the activities effectively contribute to the over-arching goals and to identify key success factors (evaluation) in order to inform the eventual adjustment to priorities (strategy review)

15. The process will also inform other important process, including inter-alia:

    i) Resource mobilization and its allocation;

    ii) Performance agreements of Executives and Directors;

    iii) The SADC Procurement Plan; andAn appropriate Management Information System

4.1 Strategy Development

16. The RISDP/SIPO shall provide the long–term strategic orientation and development perspective for the SADC regional integration and cooperation agenda and shall be regularly reviewed in accordance

with Council decisions.

17. The Secretariat shall:

i) Prepare a draft Medium Term Strategy (MTS) for approval by Council. Drawing from the RISDP and SIPO, the MTS shall provide a clear view of the possible achievements within a time perspective of five years on the basis of available evidence, plausible assumptions and assessment of risk factors in order to realise the SADC Vision and Mission. The necessary lessons will be drawn from past interventions through monitoring and evaluation reports and incorporated into the planning.

ii) Conduct annual reviews of the MTS in terms of its alignment with the RISDP and SIPO and the relevance and viability of the strategy taking into consideration the evolution of the internal and external factors. The annual review will be the main input to advise Council on opportunities to revisit priorities and implementation approaches for the remaining years on the MTS period. The output of the strategy review process will be an annual strategy update brief highlighting the main emerging issues influencing the strategic context and confirm policy directions or recommend changes for the rest of the MTS time-frame. The annual strategy update brief will launch the dialogue on priorities for the following year. Upon finalization and adoption, it will provide guidance to the preparation of operational plans and the annual budget.

iii) Conduct evaluations of the MTS component on a regular basis according to the Secretariat's evaluation plans. The evaluations will inform the preparation of the following MTS, which should start at the beginning of the fourth year.

18. To facilitate the effective implementation of the policy the Secretariat shall prepare a strategy development and review guidelines for use by all relevant stakeholders at different levels to set the key priorities for SADC. As a minimum, the guidelines shall address:

- Stakeholder participation modalities, including the participation of Sectoral and Cluster Ministerial Committees;

- Modalities for the application of the policy guiding principles, in particular the principles of additionality and subsidiarity;

- Approval processes and outcomes of relevant SADC governance structures.

4.2   Planning

19.   The Secretariat shall:

i)   Translate the MTS into a Five-Year Consolidated Operational Plan which will comprise:

a.   An adequate SADC overall medium-term implementation framework, using the appropriate conceptual tool as provided in the planning operational manuals and guidelines, which will state the intended and achievable results (outcomes and outputs) of the organisation over the period covered by the MTS to achieve the targeted impact of the RISDP, taking into consideration policy principles as indicated above, performance measurement indicators, and institutional re-sponsibility;

b.   A narrative part highlighting the state of play of regional integration environment and stating key policy directions;

c.   A Resource Mobilisation Needs Statement defining the key priority areas requiring additional support over the period covered by the MTSP. The Resource Mobilisation Needs Statement would constitute the reference document for resource mobilisation efforts.

ii)   Prepare a Five Year Corporate Plan which will comprise the Five-Year Consolidated Operational Plan and a Medium Term Revenue and Ex-penditure Framework (MTREF).

iii)   Develop Five-year Sector Operational Plans for each Directorate and Independent Unit of the Secretariat using the medium-term as a ba-

sis. The Five-year Sector Operational Plans will be consolidated into the Five-Year Consolidated Operational Plans. Each Sector Operational Plan will comprise:

a.   An adequate SADC implementation framework, using the appropriate conceptual tool as provided in the planning operational manuals and guidelines, detailing the intended outputs for each intervention area, the assumptions underpinning the contribution of the output to the medium term outcomes, the results chains leading to the accomplishment of the outputs, a set of indicators to measure performance, target set for each indicator;

b.   A brief narrative to supplement understanding of the logic underpinning the plan (relevance of intervention in terms of subsidiarity and regional value-added, situation/baseline analysis, key problems to address, lessons learnt from monitoring and evaluation etc);

c.   An expenditure framework which will be consistent with the budget.

iv)   Develop an Annual Corporate Plan which will comprise an Annual Consolidated Operational Plan and an Annual Budget using the Five-Year Corporate Plan and the annual strategy update brief as a basis. The Annual Consolidated Operational Plan will be prepared from Annual Sector Operational Plans.

20.   Annual Sector Operational Plans should provide clear quarterly performance targets in terms of activities and outputs, and indicate the lead responsible Officers for achieving the outputs.

21.   To facilitate the effective implementation of the policy the Secretariat shall prepare detailed guidelines and procedures for use by all relevant stakeholders at different levels to define strategic programmes and initiatives of SADC. As a minimum, the guidelines shall address:

- Stakeholder participation modalities,

- Approval processes and outcomes of relevant SADC governance structures

4.3   Monitoring

22.   The Secretariat shall undertake monitoring on a continuous basis to provide regular feedback on the consistency or discrepancy between planned and actual performances or on compliance with commitments. Monitoring will be used to provide an early indication of the likelihood that expected results will be attained. It provides an opportunity to validate the logical approach underlying operational plans and to make necessary changes thereof.

23.   The monitoring function of the Secretariat will encompass the monitoring of operational plans, which are executed by the Secretariat, as well as the monitoring of implementation of protocols and other regional policy instruments, which are under the responsibility of Member States. The monitoring tasks with regard to protocols and other policy implementation instruments will be performed in coordination with Member States.

4.3.1   Monitoring of operational plans

24.   The Secretariat shall establish the necessary measures to institution-alize monitoring and integrate it as an integral part of the management of the affairs of the Secretariat. The measures shall include the following:

   i)   Preparation of quarterly performance reports on the execution of Annual Sector Operational Plans for review at the appropriate management level of the Secretariat;

   ii)   Preparation of six-monthly performance reports on the execution of the Annual Consolidated Operational Plan for review by Council and relevant advisory bodies,

   iii)   Preparation of an annual performance report on the execution of the Annual Consolidated Operational Plan for review by Council and relevant advisory bodies;

25.   The Secretariat shall establish the necessary systems and procedures to ensure that:

i) Reports on the execution of operational plans provide a reliable assessment of progress on the implementation with regard to costs, results, quality and timeliness of service delivery and implementation methods used;

ii) Reports on the execution of the Annual Consolidated Operational Plan adequately support policy and resource allocation decisions;

iii) Data related to costs and results are collected and documented on a systematic basis to facilitate continuous monitoring as opposed to occasional collection of information;

iv) Relevant indicators, baselines and targets to measure implementation progress on the various SADC interventions are defined at the outset in the operational plans to support evidence-based monitoring;

v) Monitoring tasks become an integral part of all managerial functions of the Secretariat.

4.3.2 Monitoring of implementation of protocols and other core policies

26. The implementation of SADC regional policies by Members States is a prerequisite for attaining the intended results of the SADC Regional Integration and Cooperation Agenda. SADC regional policies are translated into action at national level through various forms of regulatory instruments. SADC Protocols constitute the only legislative regulatory instrument provided in the Treaty. Other regulatory instruments are also used, including Memoranda of Understandings and Declarations, to guide the implementation of regional policies on a best- endeavour basis.

27. The monitoring of implementation of regional policies, in conjunction with their evaluation, is an important function which should contribute to better policy analysis and coordination and subsequently improve policy design and the relevance of programmes and projects. The Secretariat shall take initiatives to effectively monitor the

implementation of protocols, declarations, MOUs and other regional policies related to specific sectors. The level of effort for more systematic monitoring of policy implementation should be enhanced in order to obtain comprehensive and significant inputs to the strategic management and planning functions.

28.   In view of the above, the Secretariat, shall:

i)   Prepare detailed technical guidelines and procedures for the collection of relevant information, in cooperation with the respective Member States, on the domestication and implementation of provisions contained in SADC protocols and other core policies and prepare, in collaboration with Member States, an annual report of policy implementation in Member States for presentation to the policy structures;

ii)   Support the preparation of protocol and core policies implementation plans which would facilitate Member States in managing the process of domestication and implementation of their respective policy commitments, especially to address implementation constraints;

iii)   Design appropriate regional financing mechanisms to support Member States in undertaking the necessary measures to meet their SADC regional policy commitments;

iv)   Provide mechanisms to facilitate the resolution of problems related to the incorrect application of SADC regional policies.

4.4   Evaluation

29.   In order for the evaluation to function to effectively contribute to decision-making on priorities and resource allocation it is necessary to conduct evaluation on a systematic and regular basis. Evaluation will apply to the operational plans executed by the Secretariat, according to the MTS, as well as the policies implemented by Member States through protocols and other regulatory instruments.

4.4.1 Evaluation of operational plans

30.   The evaluation of operational plans shall mainly aim at providing insights on the service delivery mission of the Secretariat with regard to the implementation of the RISDP and SIPO. To be meaningful and enable in-depth analysis, evaluation exercises should be organised in a way that focus can be made on a few specific sectors at a time. The evaluation findings on individual sectors will be used as input to an overall evaluation of the Medium Term Revenue and Expenditure Framework and the Five-Year Corporate Plan. A combination of self-evaluation and external evaluation may be used for sector evaluation exercises. However, the evaluation of the Medium Term Revenue and Expenditure Framework and the Five-Year Corporate Plan should be carried out by external evaluators on intervals of at least five years.

31.   The detailed scope and timing of evaluations should be adapted to decision making needs and to the life cycle and nature of interventions. The Secretariat shall:

   i)   Develop technical and methodological guidelines that adhere to international professional standards to ensure high quality of evaluation exercises. The guidelines will apply to self-evaluation as well as external-evaluation;

   ii)   Prepare on an annual basis an evaluation plan, indicating the sector or sectors, for which evaluation would be carried out and include it in the Annual Operational Plan to secure funding.

4.4.2 Evaluation of protocols and other core policies

32.   Evaluation of protocols and other core policies will provide insights mainly on the relevance, effectiveness, impact and sustainability of SADC regional policies in the various sectors of intervention. The evaluations look at all the stages of the life-cycle of the policy from the design to implementation. The task for such evaluation will be undertaken with the cooperation of Member States. The detailed

scope and timing of evaluations should be adapted to decision making needs and to the life cycle and nature of interventions. However, the evaluation of the policy implementation in the core priority sectors shall be carried out at least every five years to provide input to the development of the Medium Term Strategy and the Five-Year Corporate Plan.

33.   The Secretariat shall develop detailed technical and methodological guidelines that facilitate MS full participation in, and ownership of evaluation of protocols, declarations, MOUs and other policy directives as given by Council.

4.5   Policy linkage with Budgeting

34.   SADC will use Results-Based Budgeting (RBB) in compliance with the RBM model that SADC is using. The budgeting framework of SADC shall comprise a five years Medium Term Revenue and Expenditure Framework) and Annual Budgets in line with the operational plans.

35.   The Secretariat shall develop detailed guidelines to facilitate budget preparation by all relevant stakeholders.

4.6   Policy linkage with Resource Mobilisation

36.   In order to complement resources available within the SADC system to successfully implement the regional agenda, SADC will endeavour to solicit additional resources to support its programmes and projects. Whatever resources are secured have to meet specific criteria for supporting regional programmes and projects. Resource mobilisation tasks will be undertaken on the basis of SADC established priorities and the Five-year Consolidated Operational Plan. Projects that are supported by partners will be fully aligned with SADC priorities.

37.   The processes for resource mobilisation will be defined by adequate guidelines and tools developed in line with the Resource Mobilisation Strategy.

5.0   Mobilising stakeholder support

38.   The mobilization of stakeholder support on the strategy and plans is key to ensuring smooth implementation and attaining of results. The Secretariat shall allocate time and resources for consultation and communication with regard to SADC's strategy and plans.

39.   In view of that requirement, the Secretariat shall:

i)   Make deliberate efforts to ensure that information is readily available to all relevant stakeholders for transparency, accountability and inclusivity. In this regard, all reports should be made available in line with the SADC Communication Policy

ii)   Allocate resources to convene a meeting with SADC National Committee Representatives annually to receive their comments on the Annual Strategy Memorandum;

iii)   Publish the Five Year Corporate Plan, the annual strategy update brief, the Annual Corporate Plan (including the Annual Budget) and the annual performance report on the SADC website;

iv)   Develop a plan for communication and consultation with business representatives to effectively engage on SADC's strategy and plans.

40.   Communication shall particularly aim the private sector, with the view of obtaining more involvement in the design, implementation and evaluation of regional policies. National coordination actions will be undertaken by Member States to maximise the outreach of the Secretariat's regional actions.

6.0   Roles and responsibilities

6.1   Institutional responsibilities

41.   The description of roles and responsibilities with regard to the strategic planning, monitoring and evaluation functions are in line with the provisions of the SADC Treaty and the institutional arrangements foreseen in the RISDP and SIPO, taking into consideration the decisions of Council.

6.1.1   Summit

42.   Summit shall be responsible for the approval and review of long-term strategies and protocols of SADC.

6.1.2   Council

43.   Council shall:
   i)   Approve the MTS and its subsequent reviews.
   ii)   Approve the annual corporate and operational business plans based (including the budget)on the recommendations of the relevant technical advisory committees;
   iii) Approve Executive Secretary's the annual performance report and the annual report of policy implementation in Member States;
   iv)   Approve evaluation reports and their recommendations;
   v)   Review the current policy as deemed necessary;

6.1.3   Sectoral and Cluster Ministerial Committees

44.   In line with the Summit decision of August 2008 amending the Treaty Article 12, the Sectoral and Cluster Ministerial Committees shall:
   i)   Oversee the activities of the core areas of integration;
   ii)   Monitor and control the implementation of the RISDP;

iii)   Provide policy guidance to the Secretariat, including through input to the Medium Term Strategy;

6.1.4   Member States

45.   Under the leadership of the National Contact Points (NCPs) designated in the Member States the SADC National Committees (SNCs) have the responsibility to provide coordination function in the Strategy Development, Planning, Monitoring and Evaluation of SADC interventions at national level in line with the RISDP and SIPO.

46.   For Member States to own and sustain the system, the RISDP implementation and monitoring framework should be mainstreamed into the national planning system. In many countries monitoring of national development goals and objectives is the responsibility of Planning Commissions in the Office of the President and Cabinet or Ministries of Economic Planning and Development. The National Contact Points in the Ministries of Foreign Affairs (as in the case of many countries in the Region) provide the interface with SADC Secretariat. The National Contact Points therefore need to continuously engage these agencies to ensure that they integrate RISDP/SIPO in their national plans and budgets which have to be implemented by line Ministries where sector specific country targets and objectives are concerned. The achievements of the RISDP/SIPO targets at national level will have to be regularly reported (i.e. quarterly and annually) to the Central Planning Commission who in turn will have to report to SADC Secretariat. The Country reports will be aggregated into a regional report. The SADC National Committees with their coordinating responsibility will from time to time review and endorse the country progress reports before they are finally sent to SADC Secretariat.

47.   The annual RISDP/SIPO country report will inform the wider public and policy and decision-makers of progress towards major milestones of the RISDP/SIPO. It is essential that these country-specific RISDP/SIPO reports do not generate parallel processes but should support good statistics and strengthen national capacities for RISDP/

SIPO and poverty monitoring and analysis.

48. SADC National Committees (SNCs) shall, in particular, focus on:

a) Coordinate the development of regional plans at national level;

b) Coordinate implementation of regional plans at national level;

c) Coordinate monitoring and evaluation of implementation of regional policies and protocol implementation at MS level; and

d) Engage national stakeholders, in particular the private sector, with the view of getting their full involvement and participation in regional integration and cooperation regional policy design, implementation and evaluation.

6.1.5 Secretariat

49. The Secretariat shall be responsible for:

i) Strategic planning and management of SADC programs.

ii) Mobilisation of resources, coordination and harmonisation of programs and projects with cooperating partners;

iii) Prepare annual report with regard to the execution of operational plans;

iv) Coordinate the preparation of Audited Financial Statements

v) Coordinate and facilitate policies and protocol implementation reviews in Member States;

vi) Undertaking self-evaluation of programmes on a regular basis;

vii) Commission external evaluation of programmes on a regular basis;

viii) Organise the above mentioned functions adequately, namely through developing operational guidelines that comply to international best practices;

ix) Advise Council on reviews of the present policy as and when required.

6.1.6   Executive Secretary

50.   The Executive Secretary shall:

   i)   Establish appropriate strategies and mechanisms for effective implementation of this policy and ensure the delivery of its outputs and achievement of its objectives;

   ii)   Safeguard the integrity of the systems and outputs related to the implementation of the policy;

   iii)   Ensure policy coherence and coordination amongst intervention areas of the organisation including those of the Secretariat as well intervention areas of other SADC institutions;

   iv)   Prepare strategy and policy reviews for submission and approval by the Council.

   v)   Prepare Consolidated Operational Corporate and Operational Business Plans and Budgets of SADC for submission to the Council;

   vi)   Submits strategy and policy reviews to Council for approval;

   vii)   Prepare Annual and Quarterly Progress Reports on the activities, programs and projects of SADC and its institutions;

   viii)   Provides leadership in institutionalising sound practices with regard to the functions within the scope of this policy at the relevant levels of the Secretariat;

   ix)   Delegates specific tasks in relation to the functions within the scope of this policy to other levels of responsibility as deemed necessary within the over structure of the Secretariat;

6.1.7   Deputy Executive Secretary – Regional Integration

51.   Through delegation by the Executive Secretary, The Deputy Executive Secretary – Regional Integration:

   i)   Supervises and provides the necessary impulsion to the Directorate of Policy Planning and Resource Mobilization and other technical

Directorates to ensure the implementation of this policy;

ii) Vets the Medium Term Strategy and its reviews, operational plans, monitoring plans, make recommendation to the Executive Secretary;

iii) Provides leadership in her/his area of competence in the development process of Strategic Plans.

6.1.8 Deputy Executive Secretary – Finance and Administration

52. Through delegation by the Executive Secretary, The Deputy Executive Secretary – Finance and Administration:

i) Provides leadership in the development of Budgeting Process

ii) Exercise control over the execution of the Budget Process and adherence to budgets;

iii) Provides leadership in her/his area of competence in the development process of Strategic Plans.

6.1.9 Directorate of Policy Planning and Resource Mobilisation

53. The Directorate of Policy Planning and Resource Mobilisation is vested with the custody of the SPME systems in place at the Secretariat.

54. The Directorate of Policy Planning and Resource Mobilisation:

i) Ensures effective implementation of the policy;

i) Advises the Executive Secretary, through the Deputy Executive Secretary – Regional Integration on periodical reviews of the framework as and when required;

ii) Leads and coordinates reviews of the SADC Medium Term Strategy as well as other objective setting processes as may be required,

iii) Coordinates with the Director Budget and Finance to ensure

alignment between planning and budgeting processes;

iv) Exercises policy analysis with a view to enhance the effectiveness and outreach of SADC policies and programmes;

v) Supports policy coordination to ensure the alignment of operational plans, programmes and projects to SADC's strategic priorities and key policies;

vi) Coordinates the monitoring the implementation of SADC instruments (protocols, Declarations, MoUs etc), policies and instruments and evaluate them in terms of their fit and contribution to the implementation of RISDP and SIPO.

vii) Consolidates monitoring reports and ensures its compliance with established quality standards;

viii) Develop plans for evaluation and coordinate their execution;

ix) Develop and maintain repositories for monitoring and evaluation reports.

6.1.10 Technical Directorates

55.   The SADC Secretariat Technical Directorates shall:

i) Provide the necessary insights and information on sectoral issues to inform the development of the Medium Term Strategy;

ii) Prepare the Directorate's multi-annual and operation plans and budgets in line with the priorities set by the Medium Term Strategy;

iii) Conduct periodic reviews of multi-annual and annual operational plans;

iv) Provide the necessary technical input to identify performance outcome and output indicators relevant to their respective sectors;

v) Set up the necessary systems to collect performance data on the with regard to the execution of operational plans;

vi) Prepare, quarterly or as may be deemed necessary, reports on the execution of operational plans providing a reliable assessment of progress on the implementation with regard to costs, results, quality and timeliness of service delivery and implementation methods used;

vii) Monitor the implementation of sectoral policies and protocols; and

viii) Identify sectoral priorities for the approval by the relevant authority.

7.0   AMENDMENTS TO THE POLICY

56.   Any amendments to this policy shall be approved by Council.
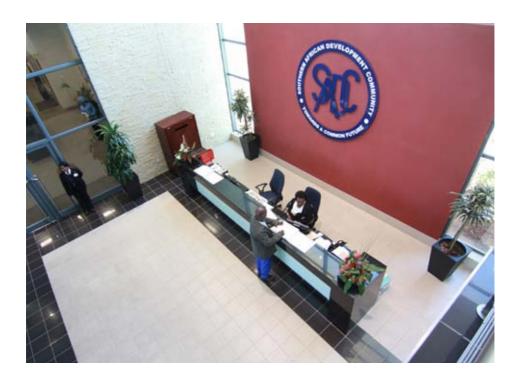
8.0   EFFECTIVE DATE

57.   This policy shall become effective immediately upon approval by Council.

Appendix 1: KEY CONCEPTS AND DEFINITIONS

Key concepts

Planning is the process through which SADC operational units seek to align operations according to the Regional Indicative Strategic Plan (RISDP) and the Strategic Indicative Plan for the Organ on Politics, Defense and Security (SIPO), the two overall long-term strategic documents of SADC, to achieve intended results within the pre-defined time-frames and given amounts of technical and financial resources whilst using the most feasible implementation approaches. In this policy document, planning refers to operational planning.

Monitoring is a continuous management process that all SADC operational units use to systematically collect data on specified indicators on regional integration to provide SADC governance structures and other main stakeholders with indications of the extent of progress and achievement of the integration agenda. Monitoring provides an early indication of the likelihood that expected results will be attained. It provides an opportunity to validate the design and logic of various programmes and projects of SADC as a means to making necessary changes in programme activities and approaches.

Evaluation is the systematic and objective assessment of on-going or completed SADC projects, programmes or policies, their design, implementation and results. The aim is to determine the relevance and fulfillment of regional integration objectives, development efficiency, effectiveness, impact and sustainability. Evaluation of SADC programmes, projects and related initiatives should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision–making process of both SADC and its development partners. Evaluation within the SADC sense also refers to the process of determining the worth or significance of an activity, policy or program as it relates to the core regional integration agenda.

Definitions

Impacts are both: positive and negative, primary and secondary long-term effects produced by an intervention, directly or indirectly, intended or unintended. Impact also refers to changes in the economic, social and/or environmental condition as pursued by the strategic intent of the organisation. An example of an impact is the increase of investment flows in the country as a result of the improved competition environment. In reality, however, the causal link between an intervention and an impact is not necessarily clear, so that impact cannot be easily attributable to specific interventions.

Indicators are quantitative or qualitative factors or variables that provide a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a an actor.

Inputs are the financial, human, and material resources used for development intervention.

Milestones are the significant stages of development set as targets against a timeframe to facilitate monitoring and measurement of progress.

Outputs are tangible products of an intervention that are directly attributable to the intervention. Outputs relate to the completion of activities and are the type of results over which managers have most influence. An example of

an output for an intervention is a model legislative provision for implementing a regional competition policy at national level.

Outcome shall mean the intended or achieved short-term and medium-term effects that an intervention's outputs, usually requiring the collective effort of partners the intervention. Outcomes represent changes in the operating condition which lead to the achievement of impact. For example, a model competition law (an output at regional level) after translation into national law and enforced (effort required at national level) is meant to foster investment and economic growth (outcomes) which would improve employment levels and contribute to raise standards of living (impact).

Objectives are the intended physical, financial, institutional, social, environmental, or other results to which a project or program is expected to contribute.

Results are the output, outcome or impact (intended or unintended, positive and / or negative) of an intervention.

NOTES:

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