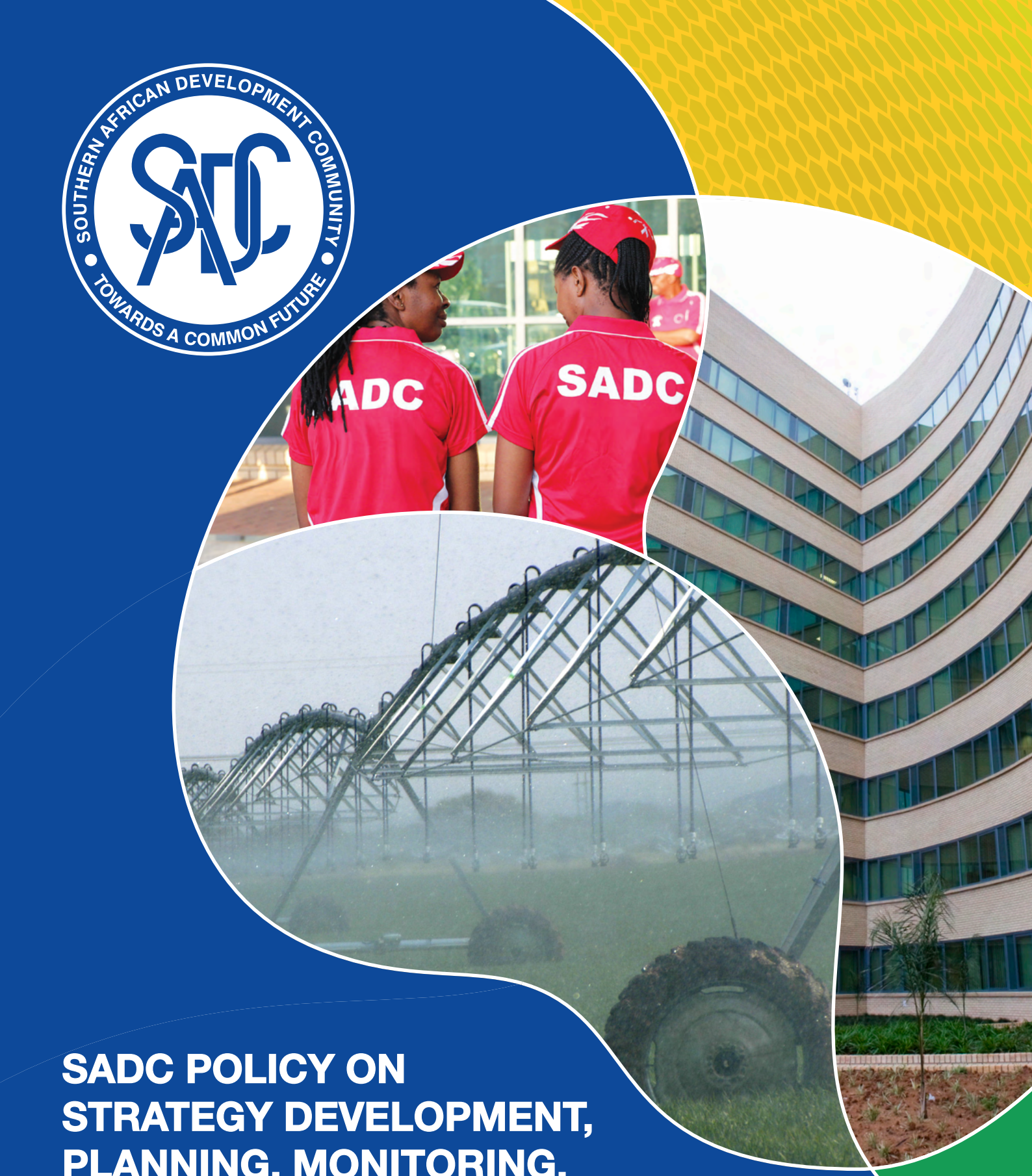

SADC POLICY ON STRATEGY DEVELOPMENT, PLANNING, MONITORING, EVALUATION AND REPORTING

MARCH 2020

SADC POLICY

ON

STRATEGY DEVELOPMENT, PLANNING, MONITORING, EVALUATION AND REPORTING

REVISED VERSION

SADC SECRETARIAT

MARCH 2020

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LIST OF ABBREVIATIONS AND ACRONYMS

ACP	Annual Corporate Plan
AU	African Union
DES-CA	Deputy Executive Secretary – Corporate Affairs
DES-RI	Deputy Executive Secretary - Regional Integration
ES	Executive Secretary
ICPs	International Cooperating Partners
MTREF	Medium Term Revenue and Expenditure Framework
MTS	Medium Term Strategy
PPRM	Directorate for Policy, Planning & Resource Mobilisation
RBB	Results-Based Budgeting
RBM	Results-Based Management
RISDP	Regional Indicative Strategic Development Plan
SADC	Southern African Development Community
SDG	Sustainable Development Goals
SIPO	Strategic Indicative Plan for the Organ
SPMER	SADC Policy on Strategy Development, Planning, Monitoring, Evaluation and Reporting
SNC	SADC National Committee

FOREWORD

In March 2012, the SADC Council of Ministers approved the SADC Policy on Strategy Development, Planning, Monitoring and Evaluation (SPME Policy) as the main tool for facilitating priority-setting, strategy development, planning, monitoring, evaluation and reporting on the SADC Regional Integration Agenda. The Policy applies the Result-Based Management (RBM) approach with the intent to make 'results' the centrepiece of the implementation of the SADC Regional Integration Agenda. With this move, the Secretariat has been in a far better position in preparing and implementing result-based Annual Corporate Plans. It has also led to significantly better reporting on the performance of the SADC Regional Integration Programme.

The SPME Policy has been instrumental in guiding the review and reorientation of SADC priorities based on the achievements, challenges and lessons learned during implementation of the Regional Indicative Strategic Development Plan (RISDP) 2015-2020. More importantly, the Policy catapulted the development of the RISDP 2020-2030.

The Secretariat conducted a review of the SPME Policy in September 2018 and this new edition is now referred to as the SADC Policy on Strategy Development, Planning, Monitoring, Evaluation and Reporting (SPMER Policy). It emphasises the importance of undertaking strategy development, planning, monitoring, evaluation and reporting within the long-term policy environment focusing on the SADC Vision 2050, the African Union Agenda 2063, the United Nations Sustainable Development Goals (SDGs) and other related commitments.

This updated version of the SPMER Policy provides more clarity on the high-level results that the SADC Regional Programme is intended to achieve, and the policy environment required to achieve results and make a positive impact on the lives of the peoples of the Region.

I am pleased to indicate that the Secretariat remains committed to raising the bar on result-based Strategy Development, Planning, Monitoring, Evaluation and Reporting. Through this Policy, the Secretariat should be better equipped in guiding the formulation of future strategic plans of SADC, and in enhancing overall performance and impact of the SADC Regional Programme. It should assist the Secretariat in its quest to implement the Regional Integration Agenda.

Mr Elias M. Magosi

Executive Secretary

1.0 INTRODUCTION

1.1 The Southern African Development Community (SADC) is a Regional Economic Community, comprising 16 Member States: Angola, Botswana, Union of the Comoros, Democratic Republic of Congo, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, United Republic of Tanzania, Zambia and Zimbabwe. Established in 1992, SADC is committed to Regional Integration and poverty eradication within Southern Africa through economic development and ensuring peace and security.

1.2 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', among others. The framework within which these functions are exercised is underpinned by policy and programme provisions incorporated in the SADC Treaty and the Regional Indicative Strategic Development Plan (RISDP).

1.3 The SADC Council of Ministers (Council) approved the SADC Policy on Strategy Development, Planning, Monitoring and Evaluation (SPME Policy) in February 2012. This Policy seeks to strengthen the framework within which the Secretariat shall perform its Treaty-defined mandate with regard to:

i. strategic planning and management of the programmes of SADC;
ii. monitoring and evaluating regional policies and programmes;
iii. mobilisation of resources, coordination and harmonisation of programmes and projects with cooperating partners; and
iv. management of special programmes and projects.

1.4 Consistent with the March 2012 Council Decision approving the SPME Policy, the Secretariat introduced the Results Based Management (RBM) approach with the intent to make 'results' the centrepiece of the implementation of the SADC Regional Integration Agenda, as espoused in the regional strategies, protocols and plans.

1.5 In line with the new emphasis on results, 'Reporting' and 'Project Management' are introduced as essential components to be addressed in implementing this revised version of the Policy.

1.6 Policy Framework

1.6.1 The enabling environment and policy guidance for the development of the SADC Policy on Strategy Development, Planning, Monitoring, Evaluation and Reporting (SPMER) is provided by the following:

i. The SADC Treaty and Common Agenda;

ii. The SADC Protocols;

iii. Medium-Term and Long-Term Strategies;

iv. The Windhoek Declaration on a New Partnership between the Southern African Development Community and International Cooperating Partners (The Windhoek Declaration); and

v. Continental and Global declarations and strategies.

2.0 PURPOSE, OBJECTIVES AND SCOPE

2.1 Purpose

2.1.1 The purpose of this policy is to strengthen and demonstrate SADC commitment towards evidence-based decision-making; priority setting; strategy development; planning, monitoring, evaluation and reporting, as well as using results to enhance performance and impact.

2.2 Objectives

2.2.1 The Policy expands ownership of results to all stakeholders, with the guidelines, systems and processes coordinated by the Secretariat. It upholds the Secretariat's responsibility in strengthening the capacity of Member States towards domestication of SADC protocols and regional strategies and plans.

2.2.2 The specific objectives of the policy are to:

i. consolidate and strengthen institutional mechanisms for strategy development, results-based planning, monitoring, evaluation and reporting;
ii. provide an overarching framework for mobilising and allocating resources and, strengthen the Secretariat's efforts in coordinating stakeholder support towards SADC priorities;
iii. provide guidance for project identification and management in line with SADC priorities, and based on RBM principles; and
iv. enhance learning, ownership, commitment and mutual accountability for results.

2.3 Scope of the Policy

2.3.1 This policy sets out the framework that will allow harmonisation of processes and management of SADC resources towards the achievement of SADC regional integration and cooperation objectives. It defines critical measures, roles, and responsibilities of relevant SADC institutions regarding:

i. Policy and Strategy Development;
ii. Planning and Programming;
iii. Monitoring, Evaluation and Reporting;
iv. Project Management; and
v. Partnerships and Stakeholder Engagement.

2.3.2 The policy also provides the basis for the development and alignment of guidelines, processes and tools for strategy development, planning, monitoring, evaluation and reporting. It articulates the linkages between the resource mobilisation and budgeting functions, with a view to ensuring a coherent policy framework and efficient use of SADC resources.

2.3.3 Furthermore, the policy provides an encompassing framework for operations initiated by SADC, as well as those initiated in cooperation with partners, including International Cooperating Partners (ICPs) and other regional and continental level institutions, in line with the Windhoek Declaration[1].

1 The Windhoek Declaration on a New Partnership between the Southern African Development Community and International Cooperating Partners is a blueprint defining cooperation between SADC and ICPs. It was signed and adopted in Windhoek, Namibia in April 2006.

3.0 GUIDING PRINCIPLES

3.1 SADC shall apply the following key principles within the context of Strategy Development, Planning, Monitoring, Evaluation, Reporting and Project Management:

i. **Ownership and Mutual Accountability for Results**

a. Achievement of regional priorities, plans and projects is a collective responsibility of the Secretariat and Member States, and shall be discharged with adherence to the principles of ***Additionality, Subsidiarity*** and ***Variable Geometry***. As such, In line with the agreed position on compliance with the SADC Post-2020 agenda, Member States shall hold each other accountable on their individual obligations in achieving results. The Secretariat shall coordinate this process in consultation with Member States.

ii. **Results Based Management**

b. This revised version of the SPMER Policy seeks to place RBM at the centre of Strategy Development, Planning, Monitoring, Evaluation, Reporting and Project Management in line with the 2012 Council Decision. The principles that shall be adhered to are as follows:

- definition of strategic goals, which contribute towards the attainment of the SADC Vision and Mission;
- specification of expected results aligned to the regional strategies, Council and Summit decisions, programmes, plans and resources;
- improvement of institutional knowledge and decision-making; and
- promotion of a culture of participation, accountability and performance towards results, integrating lessons learned into future planning.

iii. **Consolidation and Harmonisation**

a. The processes, systems, tools and products for strategy development, planning, monitoring, evaluation and reporting, shall be simplified and harmonised in line with RBM principles.

iv. **Assumptions, Risk Awareness and Management**

a. Assumptions: evidence-based assumptions shall be identified and determined to inform strategy development, planning, monitoring, evaluation, reporting and project management,taking into account external factors that play a significant role in determining the achievement of regional results.

b. Risk Awareness and Management: risks and risk factors that are likely to affect the achievement of results shall be systematically assessed, and appropriate mitigation measures shall be implemented as defined by the SADC Risk Management Policy.

4.0 STRENGTHENING INSTITUTIONAL MECHANISMS FOR STRATEGY DEVELOPMENT, PLANNING, MONITORING, EVALUATION AND REPORTING

4.1 In line with RBM principles and approach, SADC shall work through iterative learning cycles in Strategy Development, Planning, Monitoring, Evaluation and Reporting. This will inform the management of important systems and processes, including, inter alia:

i. Resource mobilisation and resource allocation;
ii. Performance planning and management;
iii. Project planning and management;
iv. Financial planning and management; and
v. Procurement planning and management.

4.2 Strategy Development

4.2.1 The RISDP shall provide the long–term strategic orientation and development perspective for the SADC regional integration and cooperation agenda. It shall also be regularly reviewed in accordance with decisions of Council. The outcome of strategy development shall be:

i. The SADC Long-Term Vision

a. Coordinated by the Secretariat, SADC Member States and other relevant stakeholders shall determine the long-term strategic vision based on the SADC Regional Integration priorities and Common Agenda;

b. The long-term vision shall be aligned with global, continental and regional agenda, including the SDGs and the AU Agenda 2063, as well as other key emerging socioeconomic and political developments; and

c. The long-term vision shall span a period longer than 10 years, and shall inform the intermediate strategy of SADC.

ii. The Ten-Year Intermediate Strategy

a. Based on the long-term vision, the Secretariat shall coordinate the formulation of a SADC Ten-Year Intermediate Strategy.

b. The Ten-Year Intermediate Strategy shall serve as a blueprint for the achievement of SADC's priorities, and shall provide strategic direction with respect to SADC programmes, projects and activities.

c. The Ten-Year Intermediate Strategy shall provide the policy framework for Member States, the Secretariat, key regional stakeholders and ICPs, in planning implementation of the Regional Integration and Cooperation agenda.

d. To facilitate effective implementation of this policy, the Secretariat shall update the strategy and review guidelines to align them with the revised policy. 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 of additionality, subsidiarity and variable geometry; and
- approval processes and outcomes of relevant SADC governance structures.

iii. The Five-Year Medium-Term Strategy

a. The Secretariat shall:

- Prepare a **Five-Year Medium Term Strategy** (MTS) for approval by Council. In line with the Council Decision of August 2015, the MTS shall be a single document combining the MTS with the Medium Term Expenditure Framework (MTREF). The MTS shall provide a clear view of possible achievements and expenditure estimates within five years based on available evidence, plausible assumptions and assessment of risk factors in order to realise the SADC Vision and Mission. Lessons learned from past interventions shall be documented in monitoring and evaluation reports and incorporated into the Medium-Term Strategy.

iv. The Annual Strategy Update

a. The Secretariat shall conduct an annual review of the Five-Year Medium-Term Strategy and produce an Annual Strategy Update document that details the relevance and viability of the strategy. The annual review shall be the main input to advise Council on achievements, opportunities to revisit priorities, expenditure estimates and implementation approaches for the remaining years on the Five-Year MTS period.

b. The output of the strategy review process shall be an Annual Strategy Update highlighting the main and emerging issues influencing the strategic context and confirm policy directions or recommend changes for the rest of the MTS period.

c. The Annual Strategy Update shall launch dialogue on priorities for the following year. Upon finalisation and adoption, it shall provide guidance for the preparation of Annual Corporate Plans (Annual Operational Plans and Budget).

d. Annual Strategy Updates shall be prepared by the Secretariat and approved by Council in accordance with relevant guidelines, instruments and tools.

4.3 Planning and Programming

4.3.1 The Secretariat shall develop Annual Corporate Plans with clear linkages to the Five-Year Medium-Term Strategy, the Ten-Year Strategy, as well as Summit, Council and Sectoral/Cluster Ministerial decisions. Annual Corporate Plans shall be prepared from Annual Sector Operational Plans and Budgets.

4.3.2 Annual Corporate Plans shall follow RBM principles and approach. They shall provide specific, measurable and realistic results in terms of outcomes, outputs, key performance indicators and activities, and designate officers responsible for the achievement of results.

4.3.3 Programmes, projects and other interventions shall be identified and prioritised based on results identified from the Medium-Term Strategy and aligned with the Ten-Year Strategy.

4.3.4 The Secretariat shall develop appropriate instruments and harmonise planning and programming for the implementation of the Five-Year Medium-Term Strategy at regional and Member State levels.

4.3.5 To facilitate effective implementation of the policy, the Secretariat shall align and/or update Planning guidelines and templates with the revised policy, for use by relevant regional and national stakeholders.

4.3.6 Decisions of Council, the Ministerial Committee of the Organ, Summit or other SADC statutory decision-making body/bodies shall form part of annual planning processes of the Secretariat to the extent that such decisions facilitate implementation of the Five-Year Medium-Term Strategy.

4.4 Monitoring

4.4.1 The Secretariat shall undertake monitoring on a continuous basis to provide regular feedback on planned and actual results. The Secretariat shall ensure compliance with commitments using identified outputs, key performance indicators and quarterly milestones, as required. Progress towards results shall be measured using the identified indicators to ensure in-depth and evidence-based reporting to inform decision-making.

4.4.2 The monitoring function of the Secretariat shall encompass the monitoring of the implementation of Summit, Council, Sectoral/Cluster Ministerial Decisions, Protocols and Annual Corporate Plans. The monitoring function shall be performed in coordination and collaboration with Member States.

4.4.3 Monitoring of Implementation of Protocols and other Core Policies

4.4.3.1 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 the national level through various forms of regulatory instruments. Protocols and other instruments including Memoranda of Understanding and Declarations constitute regulatory instruments provided for by the Treaty to guide implementation of regional policies.

4.4.3.1 In view of the above, the Secretariat, shall:

i. prepare detailed technical guidelines and procedures to facilitate collection of relevant information on the domestication and implementation of the protocols and other core policies in collaboration with Member States;

ii. prepare, in collaboration with Member States, annual reports on policy implementation in Member States for presentation to the policy structures; and

iii. support the preparation of implementation plans for protocols and other core policies to enable Member States to domesticate and implement their respective policy commitments and address implementation constraints.

4.4.4 Monitoring of Annual Corporate Plans

4.4.4.1 The Secretariat shall establish measures to institutionalise monitoring of Annual Corporate Plans (ACPs) and integrate them as an integral part of the management of the affairs of the Secretariat. The measures shall include preparation of periodic reports.

4.5 Evaluation

4.5.1 In order for evaluation to function effectively, it shall be conducted on a systematic basis.

4.5.2 Evaluation shall apply to the Ten-Year Intermediate Strategy, the Five-Year Medium-Term Strategy, policies, plans, programmes and projects implemented by the Secretariat and Member States.

4.5.3 Evaluation of Strategies and Plans

4.5.3.1 SADC shall conduct evaluation to assess the rate of implementation of the regional programme in order to determine its relevance, efficiency, effectiveness, impact and sustainability. A combination of internal and independent evaluation may be used for sector evaluation, whereas independent evaluation shall be conducted for medium and long-term strategies. The detailed scope and timing of evaluations shall be adapted to decision-making needs and to the life cycle and nature of interventions.

4.5.3.2 The Secretariat shall:

i. develop guidelines that adhere to global evaluation standards in order to ensure high quality of evaluation exercises; and

ii. prepare an evaluation plan, in line with the lifecycle of the Ten-Year Strategy, Five-Year Medium-Term Strategy Plan and the Annual Corporate Plan, and update it on an annual basis; indicating the sectors for which evaluation would be conducted, and include Corporate Plans to secure funding.

4.5.4 Evaluation of Protocols and Core Policies

4.5.4.1 Evaluation of protocols and core policies shall provide insights mainly on the application, relevance, effectiveness, impact and sustainability of SADC regional policies in the various sectors of intervention. Such evaluation shall be undertaken in collaboration with Member States.

4.5.4.2 The detailed scope and timing of evaluations shall be adapted to decision-making needs and to the lifecycle and nature of interventions. However, the evaluation of policy implementation in the core priority sectors shall be carried out at least every five years to provide input into the development of the Medium-Term Strategy and the 10 Year Long-Term Strategy.

4.5.4.3 The Secretariat shall develop detailed technical and methodological guidelines to facilitate Member States' full participation in and ownership of evaluation of protocols, declarations, MOUs and other policy directives as directed by Council.

4.6 Reporting

4.6.1 The Secretariat shall facilitate preparation of regular reports on the achievement of results in close collaboration with Member States. Reporting shall be evidence-based, and shall follow RBM principles and approach. Reporting shall provide quantitative and qualitative evidence on results achieved, using identified outcomes, outputs and key performance indicators.

4.6.2 The Secretariat shall provide guidelines and instruments for a harmonised and consistent approach to evidence-based reporting for the Secretariat, Member States and other relevant stakeholders.

4.6.3 Policy Linkage with Budgeting

4.6.3.1 SADC shall use Results-Based Budgeting (RBB)[2] within the broad RBM framework. Estimates of budget and expenditure for the five-year period shall be integrated into the Five-Year Medium-Term Strategy (MTS). Annual Budgets shall be prepared in line with the requirements for the preparation of Annual Corporate Plans. The use of RBB shall follow relevant SADC policies, instruments and tools.

2 Where Results-Based Budgeting (RBB) is used, budget formulation revolves around a set of predefined objectives and Expected Results. Expected Results justify the resource requirements which are derived from and linked to outputs required to achieve such results. Actual performance in achieving results is measured by objective performance indicators.

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

4.6.4 Policy Linkage with Resource Mobilisation

4.6.4.1 Resources secured for regional programmes and projects shall comply with the provisions of the Windhoek Declaration, the guiding principles of this Policy and the SADC financial rules and regulations.

4.6.4.2 In line with the August 2012 SADC Resource Mobilisation Strategy, The Secretariat shall facilitate development of strategies, frameworks or tools to facilitate resource mobilisation utilising alternative sources of finance to limit dependence on traditional International Cooperating Partners.

4.6.4.3 Resource mobilisation shall be undertaken based on the established priorities in the Ten-Year Strategy, the Five-Year Medium Term Strategy and the established resource needs. Projects supported by partners shall be fully aligned with SADC priorities.

4.6.4.4 The Secretariat shall regularly update the regional resource mobilisation framework and financing mechanisms to support Member States in undertaking measures to meet the SADC regional policy commitments.

4.6.4.5 The Secretariat shall ensure that resources mobilised for the regional programme are allocated in line with the outcome of the assessments on resource allocation, and in compliance with the SADC Resource Allocation Framework.

5.0 MOBILISING STAKEHOLDER SUPPORT

5.1 Stakeholder support on the strategy and plans is key to ensuring smooth implementation and attainment of results. The Secretariat shall allocate time and resources through consultation and communication with relevant stakeholders regarding the design and implementation of the SADC policies, strategies and plans.

5.2 In this regard, 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 to stakeholders in line with the SADC Communication Policy and other related instruments;

ii. allocate resources to convene annual meetings with SADC National Committees to receive input on the Annual Strategy Memorandum;

iii. publish the Ten-Year Intermediate Strategy, the Five-Year Medium-Term Strategy, the Annual Strategy Update, the Annual Corporate Plan (including the Annual Budget) and annual performance reports; and

iv. develop a plan for communication and consultation with relevant stakeholders to effectively engage on SADC policies, strategies, programmes and plans.

5.3 The policy shall promote the involvement of the private sector in the design, implementation and evaluation of regional policies, strategies, programmes and plans.

6.0 ROLES AND RESPONSIBILITIES

6.1 Roles and responsibilities regarding strategy development, planning, monitoring, evaluation, reporting and project management are defined in accordance with the provisions of the SADC Treaty and Common Agenda, decisions of Summit and Council, as well as other relevant foundational documents.

6.2 Summit of Heads of State and Government

6.2.1 The SADC Summit of Heads of State and Government (Summit) shall be responsible for the approval and review of long-term strategies and protocols of SADC.

6.3 Council of Ministers

6.3.1 The SADC Council of Ministers (Council) shall:

i. approve the Medium Term Strategy (MTS) and Annual Strategy Updates;

ii. approve the Annual Corporate Plans (operational plans and budget) on recommendation by the Finance Committee assisted by the Finance Sub-Committee;

iii. approve the medium term and annual performance reports as well as Member States' the […] reports on the implementation of the strategies and plans;

iv. approve evaluation reports and implementation of recommendations; and

v. approve the review of this policy as deemed necessary.

6.4 Sectoral and Cluster Ministerial Committees

6.4.1 In line with the provisions of Article 12 of the SADC Treaty, Sectoral and Cluster Ministerial Committees shall ensure coherence between results achieved in their sectors and other sectors, and coherence of national strategies and plans with SADC medium-term objectives.

6.5 Standing Committee of Officials

6.5.1 In line with the SADC Treaty, the Standing Committee shall:

i. provide a technical and policy platform for the implementation of the SADC Regional Integration agenda; and

ii. review Member States' progress and stakeholder accountability using evidence generated from implementation of the strategies and plans.

6.6 SADC National Committees

6.6.1 SADC National Committees (SNCs) shall coordinate Strategy Development, Planning, Monitoring and Evaluation of SADC strategies, programs and plans at national level.

6.6.2 SADC National […] Committees and technical committees shall involve key stakeholders in their operations: government ministries, departments and agencies, private sector and civil society.

6.6.3 It is essential that country-specific planning, monitoring and reporting do not generate parallel processes, but support credible statistics, strengthen national capacities, and poverty monitoring and analysis.

6.6.4 A harmonised approach to strategy development, planning, monitoring, and reporting shall be utilised in line with RBM principles. Member States shall:

i. build consensus on annual priorities and results, and a common set of indicators to which Member States are held accountable and are consistent with the Ten-Year Strategy, and the Five-Year Medium Term Strategy;

ii. utilise national data collection and statistical systems to generate data for the intermediate and Medium-Term Strategies and Annual Corporate Plans as required;

iii. harmonise processes, systems and tools for planning, monitoring and reporting on agreed results with the regional system; and

iv. prepare progress reports towards major milestones of the intermediate and Medium-Term Strategies.

6.7 The Secretariat

6.7.1 In line with the SADC Treaty, the Secretariat shall be responsible for:

i. harmonisation of regional policies and strategies, in collaboration with Member States;

ii. strategic planning and management of the programs of SADC and their alignment with medium-term and long-term strategies;

iii. partnership building and resource mobilisation;

iv. coordination and harmonisation of programs and projects with stakeholders, including cooperating partners;

v. monitoring and preparation of annual reports of the status of implementation of strategies and plans, and external evaluation of programmes on a regular basis;

vi. facilitation of the preparation of Audited Financial Statements;

vii. organisation of the above-mentioned functions adequately, namely through operational guidelines that comply with international best practice;

viii. providing Advisory services to Council on reviews of the current policy as and when required;

ix. implementation of decisions of the Summit, Council and Sectoral/Cluster Ministers;

x. coordinating and facilitating policies and protocol implementation reviews in Member States; and

xi. undertaking self-evaluation of programs regularly.

6.8 The Executive Secretary

6.8.1 The Executive Secretary (ES) 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 at regional and Member State levels;

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

v. prepare and present strategy and policy documents, Annual Corporate Plans, as well as performance reports of SADC for submission to Council for approval;

vi. provide leadership in institutionalising sound practices at the Secretariat and in consultation with Member States regarding roles, responsibilities and functions within the scope of this policy; and

vii. delegate 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.

6.9 Deputy Executive Secretary – Regional Integration

6.9.1 Through delegation by the Executive Secretary, the Deputy Executive Secretary – Regional Integration (DES-RI) shall:

i. supervise and provide guidance to the Directorates and Units on the formulation and implementation of this policy;

ii. vet the Medium Term Strategy and its reviews, Annual Corporate Plans and Monitoring Plans, and make a recommendation to the Executive Secretary; and

iii. provide leadership in their area of competence in the development process of Strategic and Annual Corporate Plans.

6.10 The Deputy Executive Secretary (DES-CA) – Corporate Affairs

6.10.1 Through delegation by the Executive Secretary, The Deputy Executive Secretary – Corporate Affairs (DES-CA) shall:

i. provide leadership in the development of […] Budgeting Process;

ii. monitor execution of the budgeting process and adherence to budgets; and

iii. provides leadership in their area of competence in the development process of Strategic Plans.

6.11 Directorate for Policy, Planning and Resource Mobilisation

6.11.1 The Directorate of Policy Planning and Resource Mobilisation (PPRM) shall have overall responsibility for SADC Policy on Strategy Development, Planning, Monitoring, Evaluation and Reporting (SPMER); The responsibilities of the Directorate shall include:

i. Ensuring effective implementation of the policy;

ii. Advising the Executive Secretary, through the Deputy Executive Secretary – Regional Integration on periodical reviews of the framework as and when required;

iii. Leading and coordinating reviews of the SADC Medium Term Strategy, as well as other objective setting processes as may be required;

iv. Coordinating with the Directorate for Finance to ensure alignment between planning and budgeting processes;

v. Exercising policy analysis with a view to enhancing the effectiveness and outreach of SADC policies and programmes;

vi. Supporting policy coordination to ensure the alignment of operational plans, programmes and projects to SADC's strategic priorities and key policies;

vii. Coordinating and monitoring implementation of SADC policies and instruments, and evaluating them in terms of their fit and contribution to the implementation of the RISDP;

viii. Consolidating monitoring reports and ensuring its compliance with established quality standards;

ix. Developing plans for evaluation and coordinating their execution;

x. Developing and maintaining repositories for monitoring and evaluation reports.

6.12 SADC Secretariat Directorates and Units

6.12.1 The SADC Secretariat Directorates and Units shall:

i. provide insight and information on sectoral issues to inform the development of the Medium Term Strategy and Annual Corporate Plans;

ii. prepare the Directorates and Units' multi-annual and operation plans and budgets in line with the priorities outlined in the Medium Term Strategy;

iii. conduct periodic reviews of the Medium Term Strategic Plans in line with Sectoral Mandate; and

iv. prepare quarterly (or as may be deemed necessary) reports on the implementation of operational plans, providing a reliable assessment of progress with regard to cost, results, quality and timeliness.

7.0 AMENDMENTS TO THE POLICY

7.1 Any amendments to this policy shall be approved by Council.

8.0 EFFECTIVE DATE

8.1 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 Region's strategic plans. It enables achievement of intended results within pre-defined timeframes, and given amounts of technical and financial resources, while using the most feasible implementation approaches. In this policy document, planning refers to strategic and operational planning.

Monitoring is a continuous management process that all SADC operational units use systematically to 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 would be achieved. 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 a 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 fulfilment 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 SADC also refers to the process of determining the worth or significance of an activity, policy or programme as it relates to the core regional integration agenda.

Reporting is the use of formal and informal reports to communicate the status of implementation of programmes or projects. It represents a form of self-assessment giving information on programs or projects' contribution to intended outcomes through outputs. Reporting provides an accurate update on project results. It identifies major constraints and proposes future direction in terms of scope, time and budget. It is used as a means for managing expectations from stakeholders and team members.

Project Management is the effective and efficient utilisation of project means and the application of knowledge, skills, techniques, processes, experience and tools to achieve the project results within the agreed timeframe, specifications and budget. Both a project and a programme require means, knowledge, skills, techniques, processes, experience, tools, technical and leadership support in order to minimise surprises, uncertainties or risks, achieve the intended objectives and contribute to the Secretariat's strategic objectives.

Definitions

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 impact, outcome or outputs (intended or unintended, positive and/or negative) of an intervention.

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 because of the improved and competitive 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.

Outcome is an intended or achieved short-term and medium-term effects of outputs. Outcomes represent changes in the operating condition leading 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).

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.

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 an actor.

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

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

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