

The study will take into account and address the following issues:

- Existing funding arrangements (i.e. investment funds) both in SADC and continent-wide;
- The effectiveness of such funding sources and their suitability in addressing the development agenda of the region;
- The need for a development funding mechanism for regional cooperation and integration projects;
- The need for and advisability of enabling elements for intra-regional resource transfers to avoid polarisation (i.e. structural funds);

The first phase of the study is expected to be complete by June 2003.

CHAPTER 6

IMPLEMENTATION AND COORDINATION MECHANISMS

6.1 INTRODUCTION

The successful implementation of the RISDP is to a large extent predicated on the capacity that exists at both national and regional levels. Key capacity constraints relate to human resources, financial constraints and an appropriate institutional framework. This chapter sets out some broad principles for the institutional mechanisms required for the successful implementation of the RISDP. Issues relating to financing and sustainability have been covered in the previous chapter, while those relating to human resources capacity have been addressed in the context of each intervention area through strategies described in Chapter 4.

Other fundamental factors necessary for the effective implementation of the RISDP include:

- The acceptance, trust and real commitment of Member States to give importance and back-up to the proposed interventions.
- A common understanding and acceptance of the fundamental roles to be played by the line function responsibility structures.
- A long-term partnership between SADC and Cooperating Partners and regular policy dialogue and consensus building on issues that are critical to the socio-economic development prospects and to poverty eradication.

It is important to underscore the fact that the environment within which the RISDP will be implemented may change continuously. In some cases, RISDP

interventions may be overtaken by events due to initiatives that Member States and/or Cooperating Partners may have undertaken. In other cases, new or unforeseen circumstances may come to the fore. Maintaining the RISDP focus, while allowing for flexibility and adaptability, poses a key challenge. The RISDP needs to be seen as a “living” document that should be updated on a regular basis to keep it in line with prevailing reality.

It is also important to reiterate that the RISDP is, in a sense, a strategic framework pointing the general direction the Region would like to move. Concrete time bound and costed activities/programmes/projects will be developed and clearly spelt out in implementation/action plans for each project/programme. This will be done immediately after the appropriate SADC authorities have approved the broad strategic framework.

6.2 PRINCIPLES FOR RISDP IMPLEMENTATION

The implementation of the RISDP will be guided by the following principles that have emerged through SADC policy directives and/or experience with the implementation of the SADC Programme of Action:

- 6.2.1 Only programmes that add value to regional integration, or enhance the capacity to achieve SADC objectives will be implemented as priorities. This principle of **additionality** is essential in the sense that Member States will respect the RISDP only to the extent that it is seen to be adding value or generating solutions to common problems faced by the Region.
- 6.2.2 Implementation of the RISDP must be based on **broad participation and consultation**, in order to engage as many stakeholders as possible, to create ownership for the outputs, and to internalise the principles upon which it is based.
- 6.2.3 Management of programmes in the context of the RISDP should adopt the principle of **subsidiarity**, whereby all programmes and activities are undertaken at levels where they can be best handled. This means that the involvement of institutions, authorities, and agencies outside SADC structures to initiate and implement regional programmes using their own generated resources should be promoted and encouraged. This will ensure that the available capacity of the Secretariat is most efficiently utilised for policy development and harmonisation, as well as programme coordination and management.

- 6.2.4 Related to the above is the maximum *engagement of regional expertise and institutions* for programme management and implementation, which should further enhance capacity building and local ownership. This paves the way for the appointment of *Implementing Agents*, i.e. institutions (or management bodies) at regional or national level (depending upon the scope of the programme) that are given responsibility for overseeing and managing the implementation of individual programmes.
- 6.2.5 The **decentralised management approach** will ensure adoption of the participatory approach, promote ownership of outputs by beneficiaries and facilitate integration with other initiatives at the national, regional, continental and global levels.
- 6.2.6 In order to realise *maximum impact* and to address the *development discrepancies* that exist between Member States, it is essential that the RISDP is implemented, as far as possible, in the context of spatial development initiatives such as development corridors, growth triangles, growth centres and transfrontier conservation areas. Special consideration should also be given to allowing for **variable geometry**, where a group of Member States could move faster on certain activities and the experiences learnt replicated in other Member States. The bottom line in prioritising programmes should be their potential contribution towards poverty eradication.
- 6.2.7 While the RISDP provides a broad framework; detailed implementation plans should be drawn up for each intervention area/programme, clearly spelling out issues such as who the different actors are, implementation and management roles, benchmarks, and sustainability.

6.3 CHALLENGES TO RISDP IMPLEMENTATION

6.3.1 Resources required for the implementation of the RISDP

Significant human and financial resources will be required for the implementation of the RISDP programmes. Securing adequate resources poses a key challenge upon which the effective implementation and rollout of the RISDP depends.

6.3.2 Institutional Coordination

The role of the Secretariat in the implementation of the RISDP will be that of facilitation and coordination. Implementation on the ground will be the responsibility of stakeholders. Managing the various interests and perspectives of

all stakeholders poses a major challenge that may require capacity strengthening at the Secretariat.

6.3.3 Alignment with other initiatives and activities

There is a number of other national, sub-regional, continental and global initiatives that interface and have potential synergies with the interventions outlined in chapter 4. In this regard, promoting alignment and cooperation between the RISDP and these initiatives is essential to maximise synergies and complementarities.

6.3.4 Enhanced Involvement of Member States

Involvement of member states at the early stages of programme development and implementation is critical to the success of the RISDP. In this connection, every effort has to be made to ensure that potential problems that will hinder the enhanced interaction and involvement of Member States are anticipated and addressed up-front.

6.3.5 The Role of SADC National Committees

Closely related to enhanced involvement of Member States, is the role of SADC National Committees in the implementation of the RISDP and in coordinating and mobilising national consensus to regional initiatives. According to the Report on the Review of the Operations of SADC Institutions, the National Committees shall be responsible for implementing and monitoring SADC Programmes at national level and ensuring broad and inclusive consultations to prepare for inputs required by the Secretariat. The challenge is to ensure that SNCs are not only established but are also effectively functional. It is therefore essential that Member States avail adequate resources and capacity to the SNCs to enable them to effectively discharge their mandate as spelt out in the Review Report and the SADC Treaty (as amended).

6.3.6 Paradigm Change Towards a Programme Approach

The adoption of the programme approach requires a fundamental paradigm shift for the key players in the implementation of the RISDP. Many of the key players are much more familiar and comfortable with implementing discrete sectoral programmes. It may well be the case that new skills will be required at the SADC Secretariat and in Member States. Facilitating this paradigm shift is a key challenge that will need to be addressed at an early stage.

6.3.7 Coordination of Cooperating Partners

As stated in the introduction to this chapter, the successful implementation of the RISDP is invariably predicated on the mobilisation of adequate resources. These resources will have to come from both internal and external sources. While SADC Member States are committed to assuming increasing responsibility in financing the RISDP, resource constraints facing the majority of them mean that Cooperating Partners will be requested to play an important role in this regard. The magnitude of the RISDP means that a large number of Cooperating Partners will be involved and their inputs will require considerable coordination. This coordination requirement will increase, as programmes are being approved and implemented. It is, therefore, absolutely essential that the Secretariat's coordinating capacity is enhanced and robust mechanisms are put in place for this purpose.

6.4 INSTITUTIONAL ARRANGEMENTS FOR THE IMPLEMENTATION OF THE RISDP

This section presents the institutional framework for managing and coordinating the implementation of the RISDP and clarifies in a broad sense the roles and responsibilities of the different actors. Intervention area or programme/programme specific arrangements, including the roles, rules of procedure, and interrelationships of the various layers, will be spelt out in detail by the respective Directorates in consultation with key actors, prior to implementation. For clarity, the management functions have been divided into four categories: The political level; operational level; programme level; and stakeholder level.

6.4.1 Political Level

At the political level, the key institutions that will provide policy direction and oversight to the implementation of the RISDP are the SADC Council of Ministers through the Integrated Committee of Ministers (ICM).

In line with the Treaty (as amended) the *Council* shall, among other things:

- Oversee the implementation of the policies of SADC and the proper execution of its programmes;
- Approve policies, strategies and work programmes of SADC; and

The ICM shall, among other things:

- Oversee the activities of the core integration areas (including trade, finance and investment; infrastructure and services; food, agriculture and natural resources; and, social and human development and special programmes);

- Monitor and control the implementation of the RISDP in its area of competence;
- Monitor and evaluate the work of the Directorates;
- Create permanent or ad-hoc sub-committees as may be necessary for cross cutting issues; and
- Exercise decision-making powers to ensure rapid implementation of programmes.

From the above, it is clear that Council receives regular progress reports from the ICM on the implementation of the RISDP, and gives final approval to any major change of a policy and strategic nature.

The ICM on the other hand directly monitors the implementation of the RISDP and gives policy guidance to the Secretariat, receives regular reports from the Secretariat, makes recommendations to Council on major changes relating to policy direction. However, the ICM is mandated by the Treaty to make decisions to ensure rapid implementation of programmes that would otherwise await a formal meeting of Council.

In line with the Report on the Review of the Operations of SADC Institutions, the ICM should also operate at cluster level. This will ensure that the cluster level ICM oversees the implementation of the RISDP, and provides technical guidance on specialised issues on behalf of the ICM.

6.4.2 Operational Level

At the operational level, management and coordination of the RISDP during implementation is primarily the responsibility of the Secretariat. According to the Treaty, the Secretariat is the principal executive institution of SADC and shall, among other things, be responsible for:

- Strategic planning and management of the programmes of SADC;
- Submission of harmonised policies and programmes to the Council for consideration and approval: and
- Monitoring and evaluating the implementation of regional policies and programmes.

It is clear from the above that the Secretariat is responsible for the day to day management and coordination of the RISDP implementation. This entails strategic planning for the review and continuous updating of the RISDP, institutional coordination of the various actors, programme coordination to ensure

adequate interface and synergies between different outputs and activities, and monitoring and evaluation of the RISDP in meeting its objectives.

6.4.3 Programme Level

The key structures in the implementation of a particular programme should include some or all of the following bodies:

- The Secretariat;
- Cooperating Partner/s;
- Technical Committees and Sub-Committees;
- Programme Steering Committees;
- Member States participating in the programme;
- SADC National Committees;
- Other Stakeholders;
- Implementing Agents; and
- Contractors.

It is important to point out that the key actors on these bodies will vary between programmes, depending upon the objectives, and scale of implementation.

The **Secretariat** is responsible to the Integrated Committee of Ministers to ensure that a programme delivers on its objectives, taking into account the interests of Member States and SADC. It is also responsible to the funding agencies (Cooperating Partners and/or member states) to ensure that the funds are used to produce the required outputs. The Secretariat, therefore, takes overall responsibility for the programme management (at a strategic level). In this context, the Secretariat will be responsible for the following:

- Funding negotiations for approved activities, and the signing of financing agreements on behalf of SADC;
- Facilitating and coordinating the participation and contributions of Member States;
- Coordinating and supervising Implementing Agents to ensure the timely submission of progress reports, and certify invoices and disbursements of funds for work done;
- Organising and participating in Programme Steering Committee meetings;
- Reporting implementation progress to the Integrated Committee of Ministers and higher SADC bodies; and
- Ensuring that SADC decisions are reflected at the programme implementation level.

Cooperating Partners will play an important role in providing resources for the implementation of the RISDP and should, therefore, be kept abreast on progress and their strategic advice sought where necessary. SADC should endeavour to create strong partnership with Cooperating Partners by engaging them on regular policy dialogue and consensus building. It is critical that Cooperating Partners are assured that the programmes are being implemented as proposed and that the resources are being used effectively.

Technical Committees should be created for the key intervention areas described in the previous chapter to provide technical guidance/direction and quality control. Technical Committees should also be created for sub-sectors within the intervention areas (e.g. water, energy, transport, communications, meteorology, tourism). These Technical Committees will go a long way in augmenting the capacity at the Secretariat on technical issues, and will ensure that any proposed programmes are technically sound and take into account the interests of Member States. The Technical Committees will be involved as early as the programme development stage and will act as technical advisory bodies to the Secretariat on specific issues. They will also act as a technical clearing house for issues/programmes prior to their submission to the Integrated Committee of Ministers for approval. Technical Committees will receive project ideas from SNCs and assist the Secretariat in developing them into fully fledged programmes/projects. They shall also be responsible for ensuring viability and sustainability of all programmes/projects. It is absolutely essential that the Technical Committees inherited from the old SADC structure are reviewed with a view to rationalising them and making maximum use of existing capacity.

Programme Steering Committees (PSCs) should be created for specific programmes/projects with a representation of a range of stakeholders that may have an interest or be able to add value to that particular programme. This may include the Secretariat, Cooperating Partner/s, relevant national government ministries/ departments, Chairpersons of SNCs of Member States participating in that particular project/programme, NGOs and/or local academic or research institutes, and relevant Regional Associations. However, it is also crucial that the committee is kept small enough to meet on a regular basis and be effective in reaching strategic decisions. The responsibility for convening the PSCs lies with the Secretariat. For any particular programme that the PSCs are responsible for, they will perform the following functions:

- Approve programme implementation plan;
- Monitor programme implementation;
- Approve annual work plans and budget;
- Make proposals to the Technical Advisory Committees/Sub-committees on changes to programme document;

- Make recommendations to the Secretariat on the selection of professional staff to Programme Management Units;
- Manage conflicts and disagreements among key actors;
- Assess success, problems, propose solutions and report on overall progress to the Secretariat; and
- Closely liaise with and give strategic advice to SNCs of Member States participating in a particular programme.

Member States participating in the programme have the responsibility of ensuring programme success and post-programme sustainability. Participating Member States will have the following responsibilities:

- Provide the necessary logistical support and information to missions by programme staff;
- Provide appropriately qualified counterpart staff to participate in programme activities as required;
- Manage impediments to programme implementation as it falls within their territory;
- Play an advocacy and public relations role on the programme to stakeholders.

SADC National Committees will be responsible for information dissemination, implementation and monitoring of the RISDP at national level and ensuring broad and inclusive consultations to prepare for inputs required by the Secretariat. National Committees together with their Sub-Committees shall be along the lines of the clusters and will therefore provide important inputs into the Directorates. In essence, therefore, SNCs will be the entry point between SADC and Member States and will be responsible for coordinating and mobilising national consensus on issues of regional importance. They shall also make critical inputs into regional policy and strategy formulation taking into consideration the peculiarities and interests of particular Member States. SNCs also have the responsibility to ensure the harmonisation of national with regional policies and the streamlining of RISDP activities into national development plans.

In order to ensure broad participation and consultation in the spirit of para 5.3.2, it is essential that relevant Stakeholders are involved in the implementation of specific programmes in the RISDP, based on areas of their interest or speciality. For instance, the private sector and NGOs can add tremendous value in the development of some programmes, sourcing funding and undertaking the implementation. The creation of Private Sector/Industry Associations should be promoted and their active participation encouraged to add the much-required impetus to programme development and implementation, especially in activities that do not readily lend themselves to grant or soft financing. Stakeholders can

participate in various ways, either directly by developing, funding and implementing some programme areas, or making inputs through technical committees, or through SADC National Committees.

In view of the fact that the role of the Secretariat is to facilitate and coordinate as opposed to implementation proper, Implementing Agents (IA) will be appointed and shall be responsible for the day-to-day operational management and supervision of a programme. This responsibility includes administrative and financial control. It is important to underscore the fact that the IA will not necessarily directly perform (execute) the task and produce the outputs. The likelihood is that the IA will appoint one or more contractors for this purpose. The decision to appoint a contractor is the responsibility of the IA in close consultation with the Secretariat and relevant Cooperating Partner/s. However, the responsibility for programme delivery to the Secretariat lies with the IA.

The Secretariat can be an IA for certain programmes, in particular those dealing with policy issues such as Protocol Implementation or policy development and harmonisation. In general the IA will be a regional entity of high repute in a particular area e.g. an academic or research institute, NGO, or a national government department depending upon the scope of the programme (reflecting the principles of subsidiarity and decentralised management). The essential characteristics of an IA should be in-depth technical know how in that particular area, demonstrated programme management capabilities, and general acceptability by Member States, cooperating partners and other key stakeholders. Implementing Agents will be responsible for the following:

- Coordinating and administering programme funding;
- Preparing draft programme implementation plans for submission to the Secretariat;
- Setting up programme /programme management arrangements;
- Managing the tendering process for the provision of programme related services and procurement of equipment;
- Providing administrative control of programmes; and
- Monitor progress and report to the Steering Committee and the Secretariat on a regular basis.

Selection of the IA should be based on some criteria developed by the Secretariat, which includes competence, credibility, sustainability, familiarity and regional balance (equity in participation). The Secretariat should make recommendations to the Integrated Committee of Ministers on the selection of an IA, following a tendering process based on approved SADC procedures. It may however be necessary to take into account specific tendering requirements that programme financiers (cooperating partners) may have.