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AFRICA  
TRUST

# Enhancing citizens participation in the SADC Development Agenda



## SADC REGIONAL INTEGRATION TOOLKIT FOR NON-STATE ACTORS

May 2020

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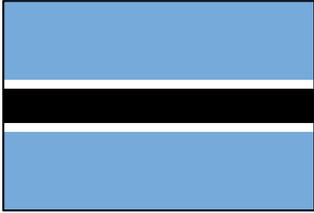
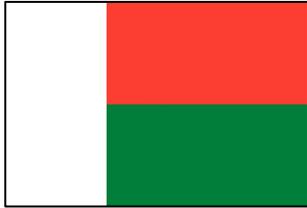
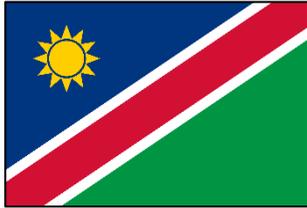
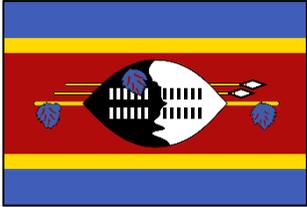
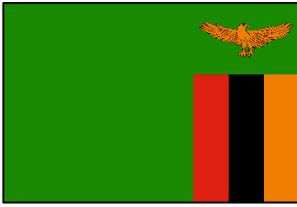
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## Acronyms

CCARDESA	Centre for Coordination of Agricultural Research for Southern Africa
CNGO	Council of Non-Governmental Organisations
DFRC	Development Finance Resource Centre
FANR	Food Agriculture and Natural Resources
FIC	Finance, Investment and Customs
FNSS	SADC Food and Nutrition Security Strategy
I&S	Infrastructure and Services
IDT	Industrial Development and Trade
MCO	Ministerial Committee of the Organ
MDGs	Millennium Development Goals
MS	Member State
NCP	National Contact Point
NSA	Non-State Actor
NVAC	National Vulnerability Assessment Committee
OCHA UN	Office for the Coordination of Humanitarian Affairs
Organ	Organ on Politics, Defence and Security Co-operation
OVC	Orphans, Vulnerable Children
PPRM	Policy Planning & Resource Mobilisation
RAP	Regional Agricultural Policy
RBO	River Basin Organisations
RDF	Regional Development Fund
REC	Regional Economic Community
RETOSA	Regional Tourism Organisation for Southern Africa
RIDMP	Regional Infrastructure Development Master Plan
RISDP	Regional Indicative Strategic Development Plan
RPTC	Regional Peace Training Centre
RVAA	Regional Vulnerability Assessment and Analysis
SADC	Southern African Development Community
SADCC	Southern African Development Coordination Conference
SAPP	Southern African Power Pool
SAT	Southern Africa Trust
SHD & SP	Social and Human Development and Special Programmes
SIPO	Strategic Indicative Plan for the Organ on Politics, Defence and Security Cooperation
SNC	SADC National Committee
SNRL	SADC National-Regional Linkages Programme
SRO	Subsidiarity Regional Organisations
STI	Science, Technology and Innovation
STR	Simplified Trade Regime

## Flags of SADC Countries

<b>Angola</b>	<b>Botswana</b>	<b>Comoros</b>	<b>DR Congo</b>
			
<b>Lesotho</b>	<b>Madagascar</b>	<b>Malawi</b>	<b>Mauritius</b>
			
<b>Mozambique</b>	<b>Namibia</b>	<b>Seychelles</b>	<b>South Africa</b>
			
<b>Eswatini</b>	<b>Tanzania</b>	<b>Zambia</b>	<b>Zimbabwe</b>
			

## Map of Southern African Development Community (SADC)



# 1. Introduction

This document presents the SADC Regional Integration Policy Processes Toolkit (RIPPT) produced by the Southern Africa Trust with support from the Germany Development Agency (GIZ) in partnership with the European Union. The Toolkit contributes towards providing knowledge that will enhance more meaningful and beneficial participation by SADC citizens in the Southern African Development Community (SADC) regional integration processes. The Toolkit will focus particular at the national and regional policy processes in the areas of trade, industrialisation and agriculture.

This toolkit is structured as follows:

- **Section 2:** Contextual Background to SADC presents a brief history of SADC and the rationale for why SADC as a community has focussed on agriculture, industrialisation, value addition and trade as its main potential growth paths to support its desire to achieve development and economic growth, alleviate poverty, enhance the standard and quality of life of the people of Southern Africa and support the socially disadvantaged through regional integration;
- **Section 3:** Definition of Selected Key Terms provides for a clearer understanding of some of the commonly used but oftentimes misunderstood terms in the SADC environment and in regional integration;
- **Section 4:** SADC Institutional Arrangements and Key Strategic Frameworks presents the roles and responsibilities of the various SADC institutions that are mandated to implement the SADC regional integration agenda;
- **Section 5:** SADC Strategic Guiding Frameworks outlines the objectives of the key SADC strategic frameworks which guide and drive the SADC regional integration agenda, and outlines the key priorities of SADC's regional integration agenda in the areas of Trade, Industrialisation and Agriculture; and
- **Section 6:** Opportunities for Non-State Actors Engagement in SADC's Regional Integration Processes outlines the ten step SADC Decision Making process and therefore areas through which SADC's Non-State Actors (NSA) can contribute towards the attainment of SADC's regional integration agenda.

## 2. Contextual Background To SADC

### 2.1 SADC Today

With a land area of 9.885 million square kilometres and a total population in 2018 of 345 million people, the Southern African Development Community (SADC) is a regional economic community comprising sixteen countries, namely, Angola, Botswana, Comoros, Democratic Republic of Congo (DRC), Eswatini (formerly known as Swaziland), Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Tanzania, Zambia and Zimbabwe. In 2018, the region had a total GDP of US\$ 721.3 billion, exports of US\$191,575 million and imports of US\$185,243 million. The sectoral distribution of the region's GDP, based on the 2015 figures was 59.4% from Services; 20.3% from Industry; and 20.2% from Agriculture. Based on 2000-2010 average figures, SADC exports by destination were 45% to Asian Pacific Economic Cooperation (APEC) countries; 27% to European Union; 15% to the Rest of the World; 10% to other SADC countries; and 3% to the Rest of Africa.

Whilst well-endowed with natural resources, the SADC Region's economic performance remains poor. The share of the manufacturing sector to overall GDP in 2018 stood at 11.9% and this has been on a declining trend from a high of 13.1% in 2009. This means the region predominantly exports unprocessed or minimally processed products mainly from the agricultural and mineral sectors, thus providing very low value returns. Increased levels of manufacturing would allow for increased intra-SADC trade as currently most of the countries produce and therefore export primarily the same type of commodities. This has raised the importance of industrialisation and value addition for the socio-economic development of the region and the enhancement of quality of life and the well-being of its people. Industrialisation, trade and agriculture have been identified as SADC's priority sectors.

### 2.2 Historical overview

The origins of the Southern African Development Community (SADC) arise from its predecessor, the Southern African Development Coordination Conference (SADCC) that was established in 1980 by the then nine majority-ruled states of Southern Africa<sup>1</sup> who were motivated to work together by the desire for political liberation of the region (SADC 2003). In 1975, the then Southern African states grouping, generally referred to as the 'Front Line States',<sup>2</sup> put together structures for the purpose of promoting regional co-operation. This was the formation of the SADCC.

The SADCC region then was characterised by mass poverty, economic backwardness and threats of hostile governments particularly the then apartheid ruled South Africa. Against that background, through the Declaration of Southern Africa: Toward Economic Liberation, the Front Line States formed SADCC to pursue economic liberation and promote economic and social development following political independence (SADC 2003 & Schoeman 2009). To achieve this goal, SADCC aimed to: reduce economic dependence particularly on the then apartheid ruled South Africa; forge links that would create genuine and equitable regional integration; mobilise resources for the promotion of implementation of national, inter-country and regional policies; and secure international cooperation within the framework of SADCC strategy for economic liberation (SADC 1980).

In 1992, SADCC was transformed through the Declaration and Treaty of the Southern African Development Community from a loose association into a legally binding arrangement as a Community, the Southern African Development Community (SADC 2003 & SADC 1993). This was in

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<sup>1</sup> The nine majority-ruled states of Southern Africa that formed SADCC were Angola, Botswana, Lesotho, Malawi, Mozambique, Swaziland, Tanzania, Zambia and Zimbabwe (SADC 2003)

<sup>2</sup> The Front Line States were Angola, Mozambique, Botswana, Tanzania and Zambia (SADC 2003)

response to the global integration trends in the 1990s that followed the end of the cold war, as well as in response to the African continental shifts led by the now African Union, and the political liberation of most countries in the Southern African region. This transformation from SADCC to SADC was prompted by the desire to deepen economic integration with the aim of addressing mass poverty and the economic backwardness of the region.

### 2.3 Poverty in SADC

Nearly 60% of the SADC population are rural (Table 1 below) and their livelihoods are almost entirely dependent on agriculture.

**Table 1: SADC Population by Urban and Rural**

Country	Population in Urban and Rural SADC (% of Total Population)		Total Population ('000)	Total Population (Urban and Rural) ('000)	
	Urban	Rural	2014	Urban	Rural
Angola	62.3	37.7	19,813	12 343	7,470
Botswana	67.7	32.3	2,156	1 460	696
Democratic Republic of Congo	38.8	61.2	69,805	27 084	42,721
Lesotho	26.6	73.4	1,916	510	1,406
Madagascar	24.2	75.8	22,434	5 438	16,996
Malawi	13.7	86.3	15,805	2 165	13,640
Mauritius	41.1	58.9	1,261	518	743
Mozambique	31.6	68.4	25,042	7 913	17,129
Namibia	45.8	54.2	2,238	1 025	1,213
Seychelles	...	...	91	91	-
South Africa	63.8	36.2	54,002	34 447	19,555
Swaziland	23.1	76.9	1,093	252	841
United Republic of Tanzania	30.2	69.8	47,907	14 466	33,441
Zambia	41.5	58.5	15,023	6 236	8,787
Zimbabwe	30.6	69.4	13,447	4 115	9,332
<b>SADC</b>	<b>40.4</b>	<b>59.6</b>	<b>292,033</b>	<b>118,064</b>	<b>173,969</b>

*Source: Calculated by Muchero (2019) based on SADC Statistical Yearbook 2015*

Table 2 below depicts the levels of poverty in 2010<sup>3</sup> in the SADC Region. Nearly 50% of the SADC population in 2010 lived below national poverty data lines and 60% of the total rural population was considered extremely poor. Addressing issues relating to agriculture and trade in the SADC Region is therefore paramount among SADC's priorities.

<sup>3</sup> There is no complete data that is available on this indicator post 2010. The Year 2010 has the most complete data that there is available for SADC on poverty levels

**Table 2: Population in SADC (2010) By Urban and Rural Population Living below National Poverty Lines**

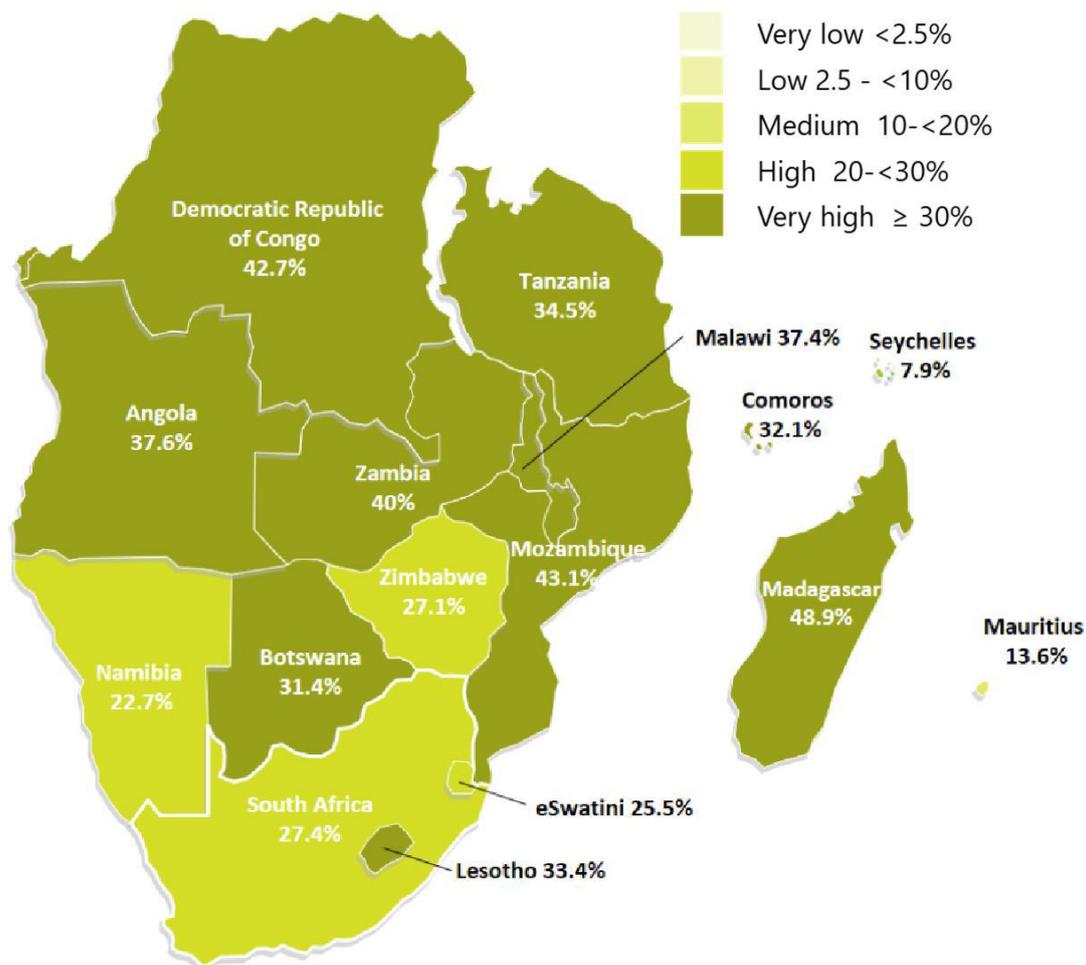
Country	Population ('000) (2010)	% Rural	% Urban	Poverty Headcount (Rural)		Poverty Headcount (Urban)		Poverty Headcount as (%) total National population	Poverty Headcount as (%) total SADC population
				No. ('000)	% of total rural population	No. ('000)	% of total urban population		
Angola	17,430	41.6	58.4	-	-	-	-	-	-
Botswana	1,988	39	61.0	188	24	199	16	19	0.14
DRC	69,205	66.3	33.7	34,733	76	14,343	62	71	18.10
Lesotho	1,892	75.2	24.8	871	61	186	40	57	0.39
Madagascar	20,142	68.1	31.9	11,179	82	3,283	51	75	5.33
Malawi	13,948	84.5	15.5	6,671	57	374	17	51	2.60
Mauritius	1,250	58.3	41.7	74	10	328	63	9	0.15
Mozambique	22,417	69.2	30.8	8,827	57	3,425	50	55	4.52
Namibia	2,143	62.2	37.8	499	37	118	15	29	0.23
Seychelles	89	0	1.0	-	-	-	-	-	-
South Africa	50,791	38.5	61.5	10,794	55	6,872	22	32	6.51
Swaziland	1,055	77.5	22.5	597	73	74	31	63	0.25
Tanzania	43,188	73.7	26.3	12,000	38	2,737	24	34	5.43
Zambia	13,300	60.5	39.5	6,268	78	1,445	28	61	2.84
Zimbabwe	12,336	61.9	38.1	6,437	84	2,186	47	72	3.18
<b>SADC</b>	<b>271,174</b>	<b>61.0</b>	<b>39.0</b>	<b>99,137</b>	<b>60</b>	<b>35,570</b>	<b>34</b>	<b>50</b>	<b>49.68</b>

Source: Muchero (2019) - SADC Statistical Yearbook 2013, Table 3.5, p. 56, Table 1.1.1, p. 1, Table 1.1.7, p. 8 – Urban / rural Population calculated by Author

The poverty situation in the Region has not improved significantly since 2010. Malnutrition is one of the measures of poverty and it manifests through stunting (inadequate height for age, an indicator of growth retardation reflecting failure to receive adequate nutrition over a long period of time), wasting (inadequate weight for height, an indicator reflecting failure to receive adequate nutrition in the period immediately preceding a survey period) and underweight (inadequate weight for age, a composite of the first two reflecting the general nutrition status of an individual).

According to the SADC Regional Vulnerability Assessment and Analysis (RVAA) Synthesis Report on the State of Food and Nutrition Security and Vulnerability in Southern Africa for 2019, 10 SADC Member States had in 2019 stunting rates in the very high category of greater than 30%; 4 SADC Member States had stunting rates in the high category of between 20% and less than 30%; and only two SADC Member States were in the low category of between 2.5% and less than 10% (SADC 2019). Figure 1 overleaf depicts the prevalence of stunting in the SADC countries.

**Figure 1: Prevalence of Stunting in SADC Region in 2019**



**Source: SADC Regional Vulnerability Assessment & Analysis (RVAA) Synthesis Report on the State of Food and Nutrition Security and Vulnerability in Southern Africa – July 2019 (SADC 2019 using Surveys ranging from 2003 – 2017 with the exception of Mauritius (1995))**

## 2.4 Key SADC Priorities

Faced with high levels of poverty, low manufacturing and value added capacities and high dependence on agriculture and mineral exports, the SADC leadership agreed to act collectively to implement effective strategies that would boost the productive capacities of its industries. In 2015, the SADC region adopted the SADC Industrialisation Strategy and Roadmap (2015 – 2063). Standing in the way of accelerated industrialisation were three binding constraints: inadequate and poor quality infrastructure, a severe deficit of the skills needed for industrial development and insufficient finance (SADC 2015b).

This called for:

- increased investment in new infrastructure, both soft and hard, with the associated improved management, performance and additional spending on maintenance of the region's infrastructure particularly in energy, transport, information and communication technologies and water;
- increased spending on formal academic education but with more emphasis on technical and vocational skills development especially those appropriate for a modern, knowledge economy; and
- re-ordering of national public expenditure programmes to give greater priority to public and private investment in physical infrastructure and human capital development.

Tackling the above would allow the region to substantially improve its industrial structure, manufacturing, production, exports particularly of those in the medium and high-technology categories and double industrial employment; and to achieve socio-economic transformation at both the national and regional levels (SADC 2015b).

To achieve maximum results, the region agreed that this industrialisation should be driven by three clear-cut mutually compatible priorities: agriculture-led growth including agricultural value chains; natural resource-led growth including minerals beneficiation and processing, also linking into value chains, both regional and global; and enhanced participation in domestic, regional and global value chains. As such, agro-processing; mineral beneficiation and downstream processing; and value chain development became the three growth paths that anchor the SADC Industrialisation Strategy and Roadmap (2015 – 2063) as approved by the SADC Council in April 2015. Clearly, agriculture, industrial development, value addition and trade are at the centre of SADC's industrialisation strategy.

The strategy acknowledges that one of the ways that this could be achieved is through building collaborative but challenging strategic partnerships between governments, the private sector, the civil society and the development partners in its industrialisation processes (SADC 2015b). The strategy actually perceived, as one of the pre-requisites for industrialisation in the SADC region, this crucial collaboration between government as a developmental agent in perceiving, developing, promoting and implementing industrial development and creating the requisite environments, and the private sector as the driver of industrialisation and in particular the contribution of small, medium enterprises (SMEs) to employment growth and national development. Coordination and interfacing of the industrial development efforts nationally and regionally was considered critical to maximizing the gains and avoidance of harmful competition.

### 3. Definition of Selected Terms

This section will present a set of definitions for selected terms to allow for a common understanding of such terms as used in this toolkit. In particular, the section will give clear distinctions in what is meant by SADC, SADC member states, SADC Secretariat and other such commonly used terms as they oftentimes are intermingled in use causing confusion. The section will also present definitions of the terms 'regional integration', 'institutional arrangements'.

#### 3.1 Distinction between Selected key SADC Terms

Several terms including SADC, SADC Member States, SADC Secretariat and others have oftentimes been used interchangeably thereby raising confusion as these terms are distinctly different and they mean different things. Below are brief explanations and definitions of selected key such terms unless expressed used otherwise in the text of this toolkit.

- **Treaty** means the Treaty establishing the Southern African Development Community (SADC).
- **Protocol** means an instrument of implementation of the SADC Treaty and any of its amendments.
- **SADC** means the Southern African Development Community. In other words, the term SADC refers to the 'community' as a whole, it is the community of sixteen SADC Member States.
- **SADC Member States** are sixteen sovereign states that have come together to form the community called SADC. In other words, while SADC (the community) is comprised of sixteen SADC Member States, SADC Member States are sovereign nations.
- **SADC Summit or Summit** as it is oftentimes called, means the meeting of Heads of State and Government of SADC Member States to transact the business of SADC the community.
- **Organ Summit**, refers to the meeting of Heads of State and Government in relation to Politics, Defence and Security Co-operation. The Organ therefore also operates at a 'Summit' level and the Organ Summit is ordinarily also held at the same time as the SADC Summit.
- **Troika** means a system of governance by SADC comprising the current Chairperson of SADC deputised by the immediate past Chairperson of SADC and the incoming Chairperson of SADC. The SADC Summit, the Organ Summit, the SADC Council of Ministers, the SADC Standing Committee of Senior Officials all operate on the basis of a Troika in their management style.
- **SADC Secretariat or Secretariat** as it is often times called, is the Executive Arm of SADC the community.
- **Directorates** means a technical or administrative division within the SADC Secretariat responsible for specific thematic programmes. Currently, there are six technical Directorates of the SADC Secretariat, namely: Industrial Development and Trade (IDT); Infrastructure; Finance Investment and Customs (FIC); Food Agriculture and Natural Resources (FANR); Social and Human Development and Special Programmes (SHD & SP); and Policy Planning and Resources Mobilisation (PPRM). There is also the Directorate of the Organ on Politics, Defence and Security Cooperation. Then there are three administrative Directorates, the Human Resources and Administration Directorate; the Budget and Finance Directorate; and the Internal Audit and Risk Management Directorate.
- **Organ Directorate of the SADC Secretariat** is almost always simply referred to as the Organ. It is the Directorate within the SADC Secretariat that is responsible for Politics, Defence and Security

co-operation. It is this Directorate of the SADC Secretariat that is responsible for matters that are brought up before the 'Organ Summit'.

- **Units of the SADC Secretariat** means those technical or administrative divisions of the SADC Secretariat that are not part of any other Directorate but are responsible for specific thematic programmes. Currently, the SADC Secretariat has seven units, namely: Legal Unit; Conference Services Unit; Procurement Unit; Information & Communication Technology Unit, Gender Unit; Communications and Public Relations Unit; and Macro-Economic Surveillance Unit.
- **SADC Subsidiarity Regional Organisations (SRO)** means those organisations that are formed by and / or affiliated to SADC which may or may not carry the SADC emblem. Examples of such subsidiarity organisations are the Centre for Coordination of Agricultural Research for Southern Africa (CCARDESA), Regional Tourism Organisation for Southern Africa (RETOSA), SADC Development Finance Resource Centre (SADC-DFRC), SADC Regional Peace Training Centre (SADC-RPTC), Southern African Power Pool (SAPP), River Basin Organisations (RBO), and SADC Council of Non-Governmental Organisations (SADC-CNGO), among others. These organisations are charged with specific thematic responsibilities for implementation in the SADC region.

### 3.2 Definition of 'Regional Integration'

The expression 'regional integration' requires the analysis and definition of several concepts including, region, regionalism, regionalisation, and integration. These concepts are briefly discussed below.

#### Region

Noting that there is an extensive body of literature dealing with the problems of defining terms, Schoeman (2009), as cited by Muchero (2019)) suggested the following definition of what a region means.

'A region is a part or segment of the world that consists of more than two states in physical proximity which consciously share patterns of interaction at various levels, the territorial totality of which is considered a recognizable entity by other entities who form the region and also by the external environment. Such an entity, though, is not a given and in terms of its borders can contract or expand over time. Its shared patterns of interaction can be characterised either by patterns of amity or enmity' (Schoeman, 2009, cited by Muchero 2019, emphasis added).

#### Regionalism

Whereas 'region' denotes space and place, regionalism denotes an aim or objective and the term has both a normative and a descriptive connotation. A descriptive connotation of 'regionalism' basically explains the physical pattern of the region, in this case, the Southern African region. A normative understanding relates to the aims, goals and driving forces that underlie and determine conscious efforts by the members of a region to increase and/or control various forms of interaction and cooperation (Schoeman 2009, cited by Muchero 2019).

Bound by their ambition of a common future, the SADC countries form a regional community whose vision and goal is to ensure the economic well-being, improvement of the standards of living and quality of life, freedom and social justice and peace and security for the peoples of Southern Africa (SADC 2003). In the words of Evans and Newnham (1998) as cited by Schoeman (2009), regionalism therefore is 'a complex of attitudes, loyalties and ideas which concentrates the minds of people/s upon what they perceive to be "their" region'. Lastly, regionalism generally results in the establishment of a transnational level of governance to drive and within which the member states can manage their closer cooperation against both internal and external forces (Schoeman 2009, cited by Muchero 2019). In the SADC sense, this refers to the SADC Secretariat.

## **Regionalisation**

Schoeman (2009, cited by Muchero 2019) said that:

- 'The idea of regionalisation is often implicitly presented as being a largely cooperative process – states in various regions 'band' together for their mutual benefit and in this way formulate and execute a proper, efficient and profitable response to global economic demands and trends' (emphasis added).

Although often used as synonymous with 'regionalism', 'regionalisation' refers to the processes through which 'regionness' is increased (Schoeman 2009). In the case of SADC, the chosen process through which SADC's 'regionness' (its long-term goals) or regionalism is to be attained is regional integration (SADC 2003).

## **Integration**

'Integration' comes from a Latin word, integer, meaning whole or entire. De Lombaerde et al (2005) cited by Muchero 2019) interprets the concept of integration as:

- 'a process in which units move from a condition of total or partial isolation towards a complete or partial unification. Applied to the interaction between independent sovereign states, integration refers to a process of large-scale territorial differentiation characterised by the progressive lowering of internal boundaries and the possible rising of new external boundaries. Such complex social transformation may or may not imply some kind of permanent institutional structure' (emphasis added)

Integration therefore generally means combining parts so that they work together or form a whole and there are many types and forms of integration including political, economic, and social. Of interest to SADC is 'economic integration' which may take any one or a combination of any of the following forms including (in descending order of degree of economic cooperation) (i) Economic Union, (ii) Customs Union, (iii) Free Trade Area, (iv) Sectoral or Partial Integration, (v) Preferential Trading, and (vi) Long-term Trade Agreements.

Forms of cooperation therefore range from the weakest and issue-focused arrangement (cooperation); through harmonisation / coordination which implies a higher and more formalised degree of cooperation and commitment intended typically to address inconsistencies in policy content such as tax policy, trade policy or legal and regulatory frameworks; to integration, a higher degree of lock-in and loss of sovereignty. The deepest form of integration is a federated union such as the United States of America which includes political and economic integration.

Kritzinger-van Niekerk (n.d., cited by Muchero 2019) says whatever scheme is chosen, successful integration has to be guided by principles which would ensure that the regional and national programmes are compatible and mutually reinforcing. Such principles include (i) open-regionalism which seeks to insure that a regional strategy is bred in the same ideological paradigm as national reform policies; (ii) subsidiarity which provides guidelines for dividing responsibilities between countries and regional organisations for facilitating the integration process; and (iii) pragmatism/gradualism which, given the differences in country conditions, allows for integration to proceed realistically so as to build on demonstration cases and minimise the frequency of policy reversals.

## **Suggested Working Definition of 'Regional Integration' for SADC**

The following has been suggested as a working definition of the term 'regional integration':

- 'Regional integration means a process in which partner states move from a condition of total or partial isolation towards a partial or complete unification by progressively lowering their internal boundaries with the view to achieving desired common goals and objectives for their mutual benefit and the wellbeing of the region's community and in this way, formulate and execute a proper, efficient and beneficial response to continental and global economic demands and trends' (Muchero 2019).

What is found important and crucial to defining 'regional integration' is its implications, and these influence the institutional arrangements that have to be put in place in order to achieve certain milestones towards regional integration.

### **3.3 Definition of Institutional Arrangements**

Under Article 9 (Establishment of Institutions) of the SADC Treaty as amended, SADC established the following institutions, Summit of Heads of State and Government; Organ on Politics, Defence and Security Co-operation; Council of Ministers; Integrated Committee of Ministers; Standing Committee of Officials; SADC Secretariat; Tribunal; and SADC National Committees. There are however other institutions that have since been formed including Subsidiarity Regional Organisations (SRO) and various other forms of organisations in support of implementation of the SADC Regional Integration Agenda.

The UNDP provides a working definition of 'institutional arrangements' that is applied in this toolkit. UNDP's definition arises from two sources. First is the definition of 'institutions' by Douglass North in his book *Institutions, Institutional Change, and Economic Performance* (1990: 3, as cited by UNDP 2017) in which he defines institutions as 'rules of the game in a society'. According to Douglass North, this meant that institutions are constraints which shape human interaction and the way that societies evolve through time. The second source of UNDP's definition of institutional arrangements comes from the proposal by various authors (Hollingsworth and Lindberg, 1985; Campbell et al., 1991; Hollingsworth et al., 1994; Hollingsworth and Boyer, 1997 – as cited by UNDP 2017) who defined 'Institutional Arrangements' as referring to the delegation, distribution, or sharing of power related to growth management decision-making and implementation authority.

Based on the above definitions, the UNDP coined the following definition of 'institutional arrangements' which is broadly applied in this toolkit, that:

- 'Institutional arrangements are the policies, systems, and processes that organizations use to legislate, plan and manage their activities efficiently and to effectively coordinate with others in order to fulfil their mandate' (UNDP)

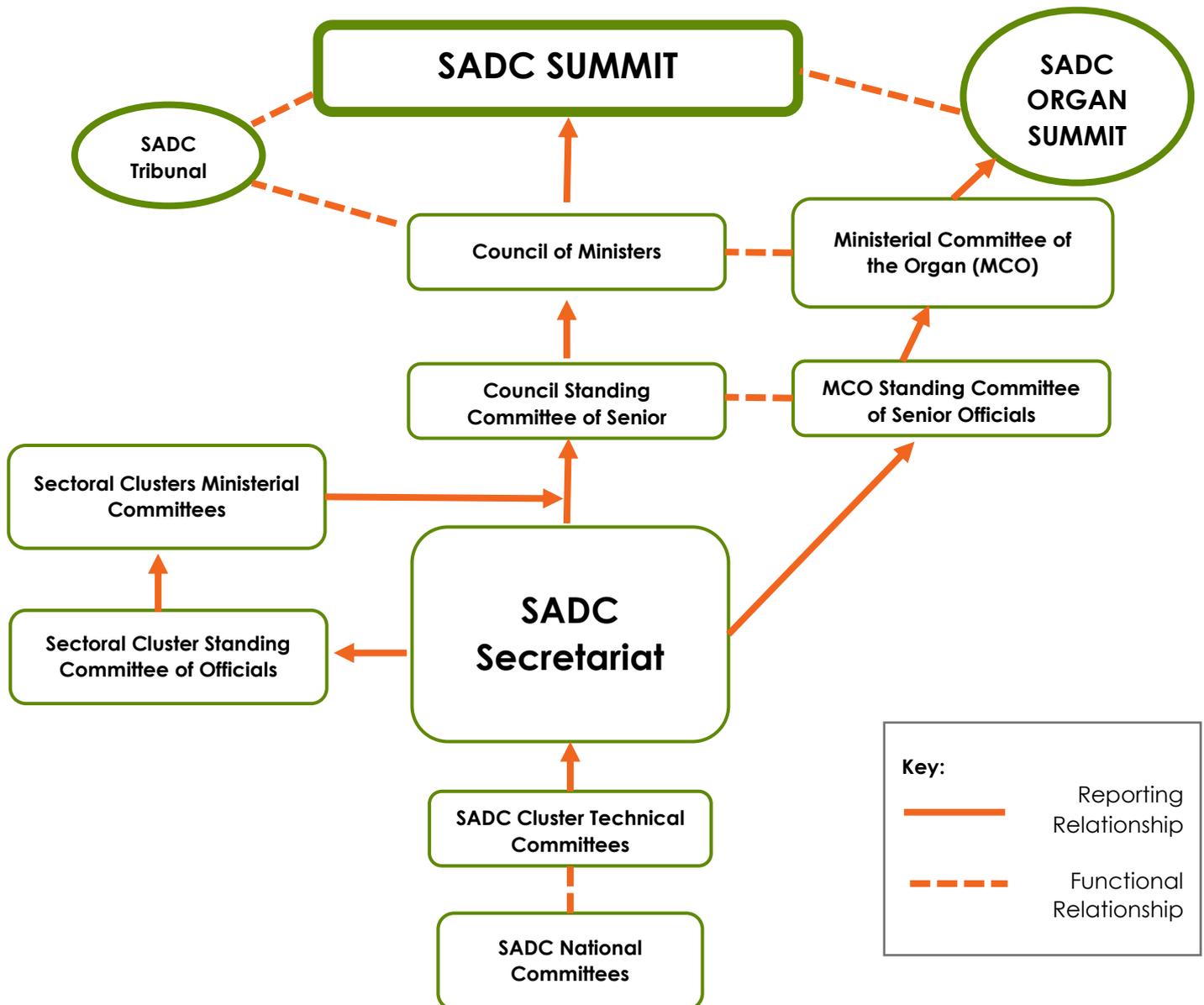
In further elaboration, the UNDP noted that the term institutional arrangements also incorporates the networks of entities and organizations involved in planning, supporting, and/or implementing programs and practices of formal organisational structures. Organised Non-State Actor (NSA) organisations could be considered in this same category.

## 4. SADC Institutional Arrangements

### 4.1 Overview of SADC Institutional Arrangements

The form, structure and number of current institutions that serve to achieve the ambitions of SADC are articulated in Articles 9, 10, 10A, 11, 12, 13, 14, 16, 16A and 23 of the Treaty establishing SADC, as Amended. Under Article 9 of the Treaty, SADC established the core SADC institutions each of which institution is further specified under its own article. Figure 2 below depicts the linkages and reporting lines of these SADC institutions.

**Figure 2: Overview SADC Institutions**



**Source:** Muchero - Based on various SADC documents reviewed including 2001 Report on the Review of the Operations of SADC Institutions

### 4.2 Composition, Roles and Responsibilities of SADC Institutions

Under Article 9, the Treaty of SADC recognises several institutions. In the next sub-sections, the composition, roles and responsibilities of the various institutions of SADC are outlined.

#### **4.2.1 The SADC Summit**

The composition, roles and responsibilities of the SADC Summit are outlined under Article 10 of the Treaty establishing SADC, as Amended. The SADC Summit comprises Heads of State or Government and is presided over by the Chairperson of SADC deputised by the Past Chairperson and the Incoming Chairperson. This is referred to as the SADC Summit Troika. The Troika serves for a one (1) year term and it meets twice a year (usually in March and August of each year). The SADC Summit is the supreme policy-making institution of SADC and Summit decisions are based on consensus.

The specific roles and responsibilities of the SADC Summit include: overall control of functions of the Community; adoption of legal instruments for the implementation of the provisions of the SADC Treaty provided that the Summit may delegate this authority to the Council or any other institution of SADC as the Summit may deem appropriate; appointment of the Executive Secretary and the Deputy Executive Secretaries of the SADC Secretariat on the recommendations of the Council; and admissions of new members to SADC.

#### **4.2.2 The SADC Organ Summit**

The composition, roles and responsibilities of the SADC Organ Summit are outlined under Article 10A of the Treaty establishing SADC, as Amended. The Organ Summit comprises Heads of State or Government who oversee the issues relating to Politics, Defence and Security Co-operation by ensuring peace and security in the region, a fundamental foundation for the effective pursuit of a regional economic integration agenda.

Similar to the SADC Summit, the SADC Organ Summit on the Organ on Politics, Defence and Security Co-operation (simply referred to as the Troika of the Organ) is presided over by, on a country rotational basis, the Chairperson of the SADC Troika on the Organ and two Deputy Chairpersons. These shall not be the same Heads of State and Government as the Summit Chair and Deputy Chairpersons. They also serve for one year. This implies that in any year, there are three SADC Summit Troika countries and three SADC Troika of the Organ countries and these can be called to meet as the Double Troika.

#### **4.2.3 Ministerial Committee of the Organ**

The composition, roles and responsibilities of the Ministerial Committee of the Organ (MCO) are outlined under Article 10A of the Treaty establishing SADC, as Amended. The MCO, comprising Ministers responsible for Foreign Affairs, Defence, Public Security and State Security from each SADC Member State, is responsible for the coordination of the work of the Organ on Politics, Defence and Security Co-operation. The MCO advises the SADC Organ Summit.

#### **4.2.4 The SADC Council of Ministers**

The composition, roles and responsibilities of the SADC Council of Ministers are outlined under Article 11 of the Treaty establishing SADC, as Amended. The Council of Ministers is established to oversee the functioning and development of SADC as a region and the overseeing of implementation of the policies of SADC and the proper execution of its programmes. In addition, the Council of Ministers advises the Summit on matters of overall policy and efficient and harmonious functioning and development of SADC; approves policies, strategies and work programmes of SADC; directs, coordinates and supervises the operations of the institutions of SADC subordinate to it; recommends, for approval to the Summit, the establishment of directorates, committees, other institutions and organs; creates its own committees as necessary; recommends to the Summit persons for appointment to the posts of Executive Secretary and Deputy Executive Secretary; determines the Terms and Conditions of Service of the staff of the institutions of SADC; develops and implements the SADC Common Agenda and strategic priorities; convenes conferences and other

meetings as appropriate, for purposes of promoting the objectives and programmes of SADC; and performs any other such duties as may be assigned to it by the Summit or the SADC Treaty.

The SADC Summit is advised by and receives recommendations from the SADC Council of Ministers. The SADC Council of Ministers comprise Ministers primarily responsible for Foreign or External Affairs. As with the Summit, the Council of Ministers operations on a Troika system with the Chairperson and Deputy Chairpersons appointed by the Member States holding the Chairpersonship and Deputy Chairpersonships of SADC respectively. The Council of Ministers meets at least twice a year ordinarily in March and August just before the Summit and decisions by Council are by consensus.

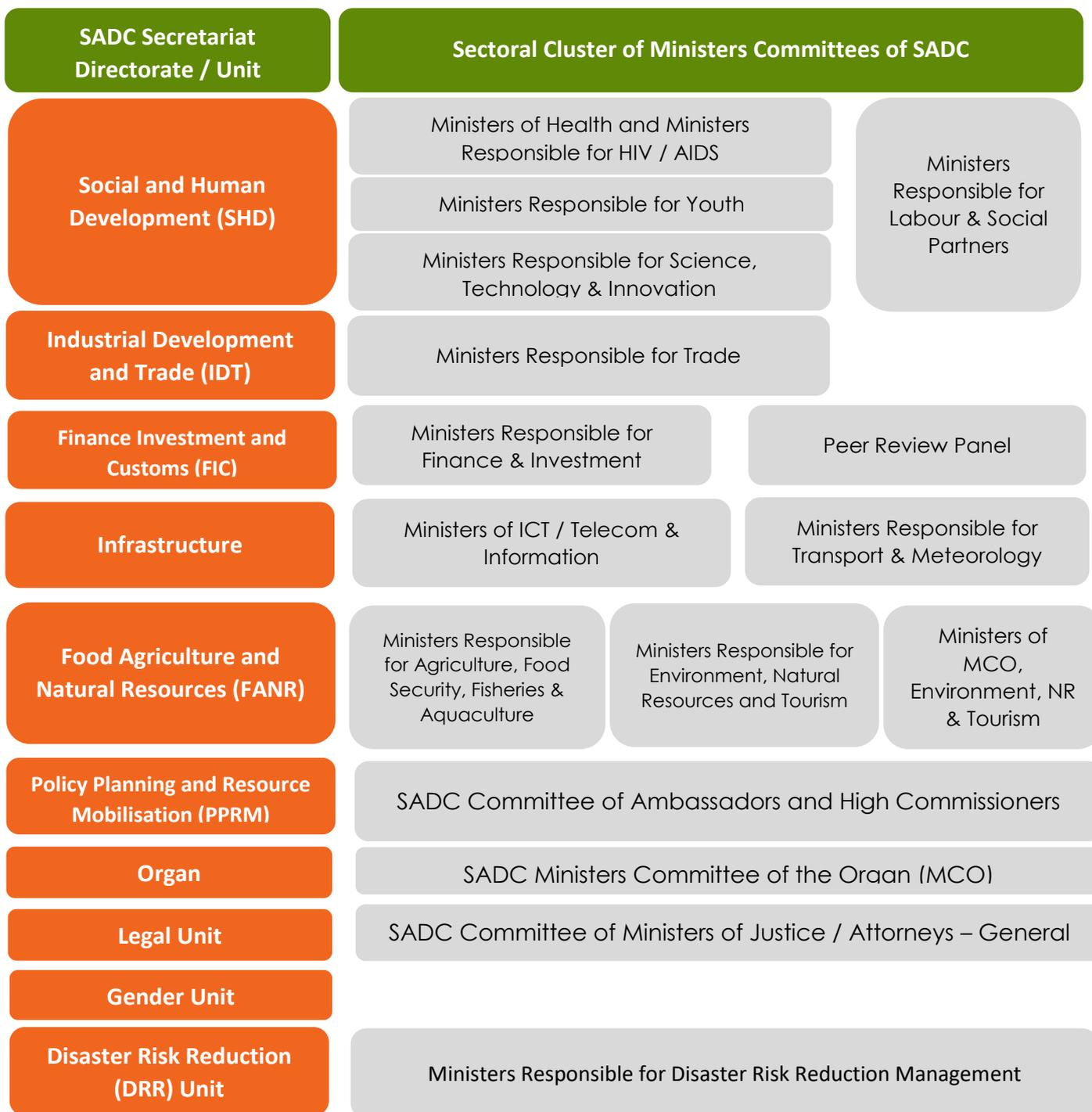
#### **4.2.5 The Integrated Committee of Ministers / Sectoral Cluster Ministerial Committees**

The composition, roles and responsibilities of the SADC Integrated Committees of Ministers (ICM) are outlined under Article 12 of the Treaty establishing SADC, as Amended. The Integrated Committee of Ministers has since been replaced by the Sectoral Cluster of Ministerial Committees that are established to coordinate co-operation and integration of policies and programmes in designated sectoral areas.

More specifically, the roles and responsibilities of Sectoral Cluster Ministerial Committees included overseeing the activities of the core areas of integration, namely, trade, industry, finance and investment, infrastructure and services, food, agriculture and natural resources and social and human development and special programmes; monitoring and controlling the implementation of the SADC Regional Indicative Strategic Development Plan (RISDP) and providing guidance to the SADC Secretariat; making decisions on matters pertaining to the SADC Secretariat Directorates; and monitoring and evaluating the work of the SADC Secretariat Directorates.

The Sectoral Cluster Ministerial Committees comprise Ministers responsible for the relevant cluster. Figure 3 below presents the current listing of Sectoral Cluster Ministerial Committees in alignment with the SADC Secretariat Directorates that they serve.

**Figure 3: SADC Sectoral Cluster Ministerial Committees**



Source: Developed by Martin T. Muchero based on information from various SADC documents, interviews with key stakeholders and practical experience of having worked at SADC Secretariat for 11 years

#### **4.2.6 The SADC Standing Committee of Officials**

The composition, roles and responsibilities of the SADC Standing Committee of Officials are outlined under Article 13 of the Treaty establishing SADC, as Amended. The Standing Committee of Officials is established as the technical advisory committee and 'clearing house' to the SADC Council of Ministers. The Standing Committee of Senior Officials comprises the Permanent Secretary / Principal Secretary / Director General or official of equivalent rank from each Member State from the relevant Ministries represented at the SADC Council. The committee meets prior to every Council of Ministers meeting and the Committee also operates on a Troika system of Chairpersonship.

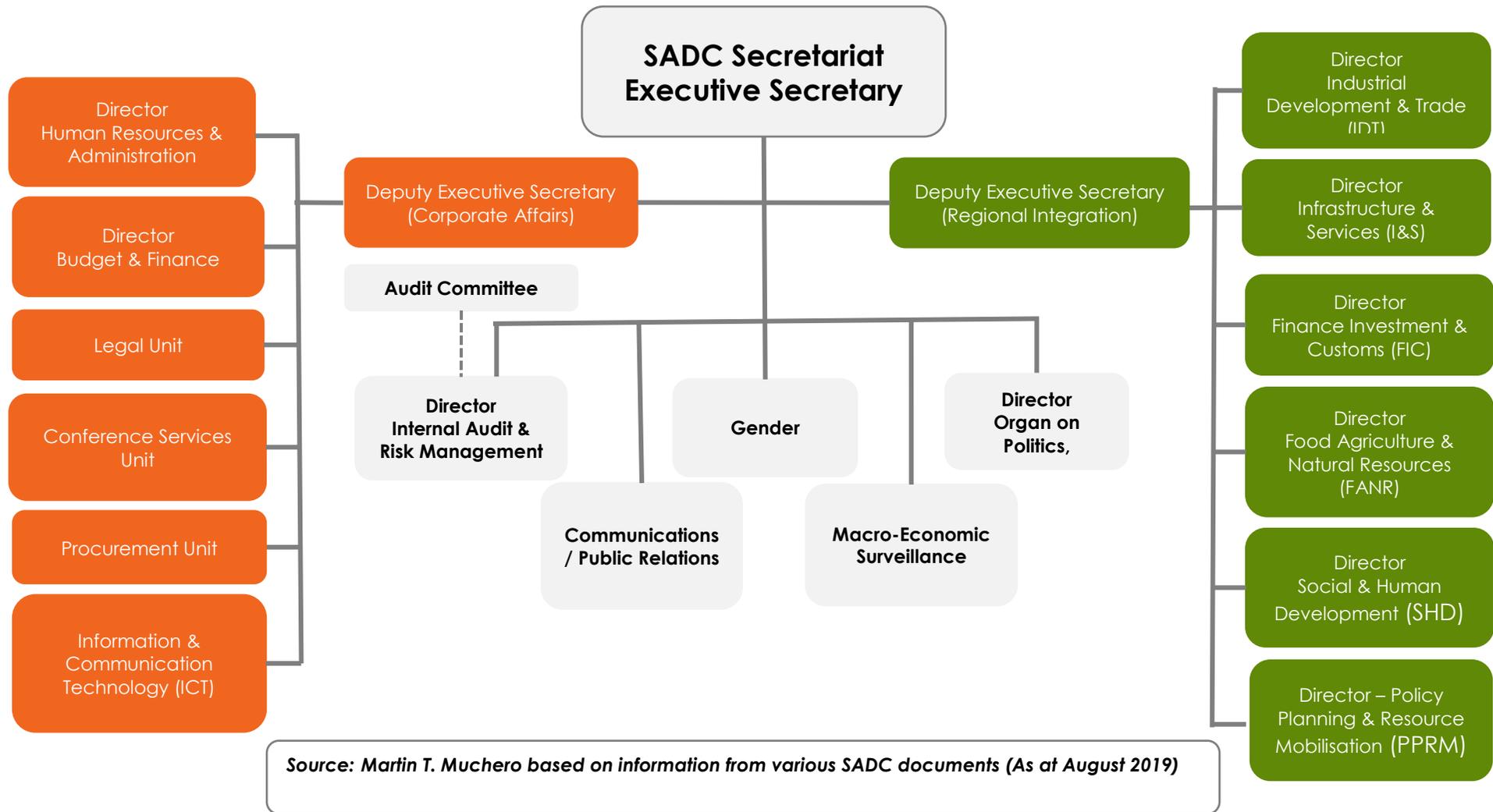
#### **4.2.7 The SADC Secretariat**

The composition, roles and responsibilities of the SADC Secretariat are outlined under Article 14 of the Treaty establishing SADC, as Amended. The SADC Secretariat, an inter-governmental organisation, is established as the principle executive institution of SADC tasked with strategic planning and management of programmes of SADC as well as implementation of decisions of the Summit; Troika of the Summit; Organ on Politics, Defence and Security Co-operation (operating at Summit level); Troika of the Organ on Politics, Defence and Security Co-operation; Troika of the Council; Sectoral Cluster of Ministerial Committees; and Troika of the Sectoral Cluster of Ministerial Committees.

In addition, the SADC Secretariat is responsible for organising and managing SADC meetings; representing and promoting SADC; coordinating and harmonising the policies and strategies of Member States; gender mainstreaming in all SADC programmes and activities; submitting harmonized policies and programmes to the Council for consideration and approval; monitoring and evaluating the implementation of regional policies and programmes; collating and disseminating information on the Community and maintenance of a reliable database; developing capacity, infrastructure and maintenance of intra-regional information communication technology; mobilizing resources, co-ordination and harmonization of programmes and projects with cooperating partners; devising appropriate strategies for self-financing and income generating activities and investment; managing special programmes and projects; undertaking research on Community building and the integration process; and preparing and submitting to the Council, for approval, administrative regulations, standing orders and rules for management of the affairs of SADC.

The SADC Secretariat is headed by the Executive Secretary (ES) who is deputised by the Deputy Executive Secretary for Regional Integration (DES(RI)) who leads and manages the implementation of SADC Regional Integration programmes; and the Deputy Executive Secretary for Corporate Affairs (DES(CA)) who leads and manages the provision of corporate support services of the SADC Secretariat. Figure 4 presents the SADC Secretariat Overall Structure.

**Figure 4: SADC Secretariat Overall Structure**



Source: Martin T. Muchero based on information from various SADC documents (As at August 2019)

#### 4.2.8 The SADC Tribunal

The composition, roles and responsibilities of the SADC Organ Summit are outlined under Article 16 of the Treaty establishing SADC, as Amended. The SADC Tribunal was established in 2005 to implement the Protocol on Tribunals and Rules Thereof of 2000 which was later amended in 2002. The SADC Tribunal had been set up to ensure adherence to and the proper interpretation of the provisions of the SADC Treaty and subsidiary instruments and to adjudicate upon such disputes as may be referred to it; and to give advisory opinions on such matters as the Summit or the Council may refer to it. The Tribunal had been set up to comprise judges appointed by Member States.

The Tribunal was however suspended in 2010 and SADC Summit resolved that a new Tribunal should be negotiated and that its mandate should be confined to interpretation of the SADC Treaty and Protocols relating to disputes between Member States.

#### 4.2.9 The SADC National Committees

As articulated under Article 16A of the Treaty establishing SADC, as Amended, SADC Member States are mandated to create SADC National Committees (SNCs). Some of the key roles and responsibilities of SNCs are outlined in Box 1. To implement this mandate, SNCs are composed of several key stakeholders as outlined in Box 2. Furthermore, under Article 23 of the Treaty, SADC undertook to seek to involve fully, the people of the Region and key stakeholders in the process of regional integration. To this effect, SADC institutions are mandated under this article to co-operate with and support the initiatives of the peoples of the Region and key stakeholders; and contribute to the objectives of the Treaty in the areas of co-operation in order to foster closer relations among the communities, associations and people of the Region.

##### Box 1: Key Functions of SADC National Committees (SNC's)

SADC National Committees, established under Article 16A of the Treaty establishing the Southern African Development Community (SADC) are mandated to:

- Provide input at the national level in the formulation of SADC policies, strategies and programmes of action;
- Co-ordinate and oversee, at the national level, implementation of SADC programmes of action; and
- Initiate projects and issues papers as an input to the preparation of the Regional Indicative Strategic Development Plan, in accordance with the priority areas set out in the SADC Common Agenda.

##### Box 2: Composition of SADC National Committees

SADC National Committees are composed of key stakeholders defined to include:

- Government;
- Private Sector;
- Civil Society;
- Non-governmental organisations; and
- Workers and employers organisations

It is from Articles 16A and 23 that Non-State Actors (NSAs) can derive legitimacy in supporting the implementation of SADC's regional integration agenda. The unfortunate situation is that most SNCs in most SADC Member States are non-functional or dysfunctional therefore eroding NSAs the basis

of support and co-operation in the formulation and implementation of SADC's regional integration agenda. This situation is, however, partly being redressed through the SADC National-Regional Linkages (SNRL) Programme. With co-funding from the European Union (EU) and the German Government (BMZ), SADC launched its SADC National-Regional Linkages (SNRL) Programme to enhance the capacity of SADC Member State structures to facilitate and co-ordinate implementation of the regional agenda at country level. This programme is being operationalised by GIZ as the EU-SADC identified implementation agency. This SNRL programme is intended to run till December 2021.

#### **4.2.10 SADC Technical Committees**

Directorates of the SADC Secretariat, where appropriate, are supported by SADC Council-approved Technical Committees that provide technical expertise in specific subject matters. The SADC Technical Committees generally comprise technical Directors or government officials of similar levels in the relevant Ministries of SADC Member States, as well as subject matter technical experts from the private sector and industry. These Technical Committees operate purely on technical matters and can only make recommendations (usually evidence-based) on strategic issues for consideration by SADC through relevant structures of the SADC Secretariat. These Committees meet at the request by the SADC Secretariat.

Shown in Figure 5 on the next page are some of the current existing technical committees that work with the relevant Directorates of the SADC Secretariat. This is an avenue that NSAs can also be involved in the processes of supporting the implementation of SADC's regional integration agenda.

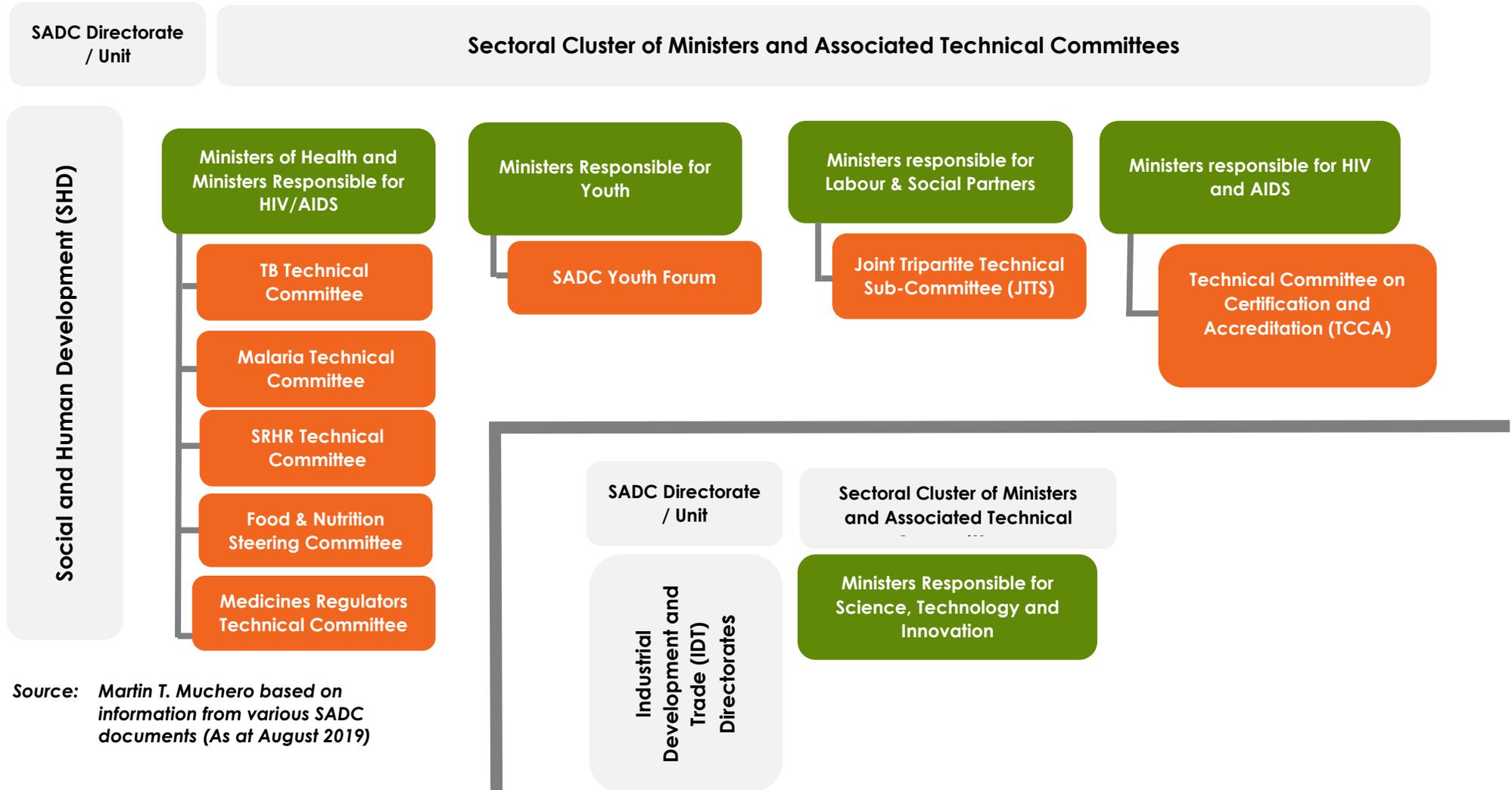
#### **4.2.11 SADC Subsidiarity Regional Organisations**

There are other institutions that have since been formed that support regional integration. These include SADC Subsidiarity Regional Organisations (SRO). SADC SROs are those organisations that are formed by and / or are affiliated to SADC and that may or may not carry the SADC emblem.

Examples of such subsidiarity organisations include:

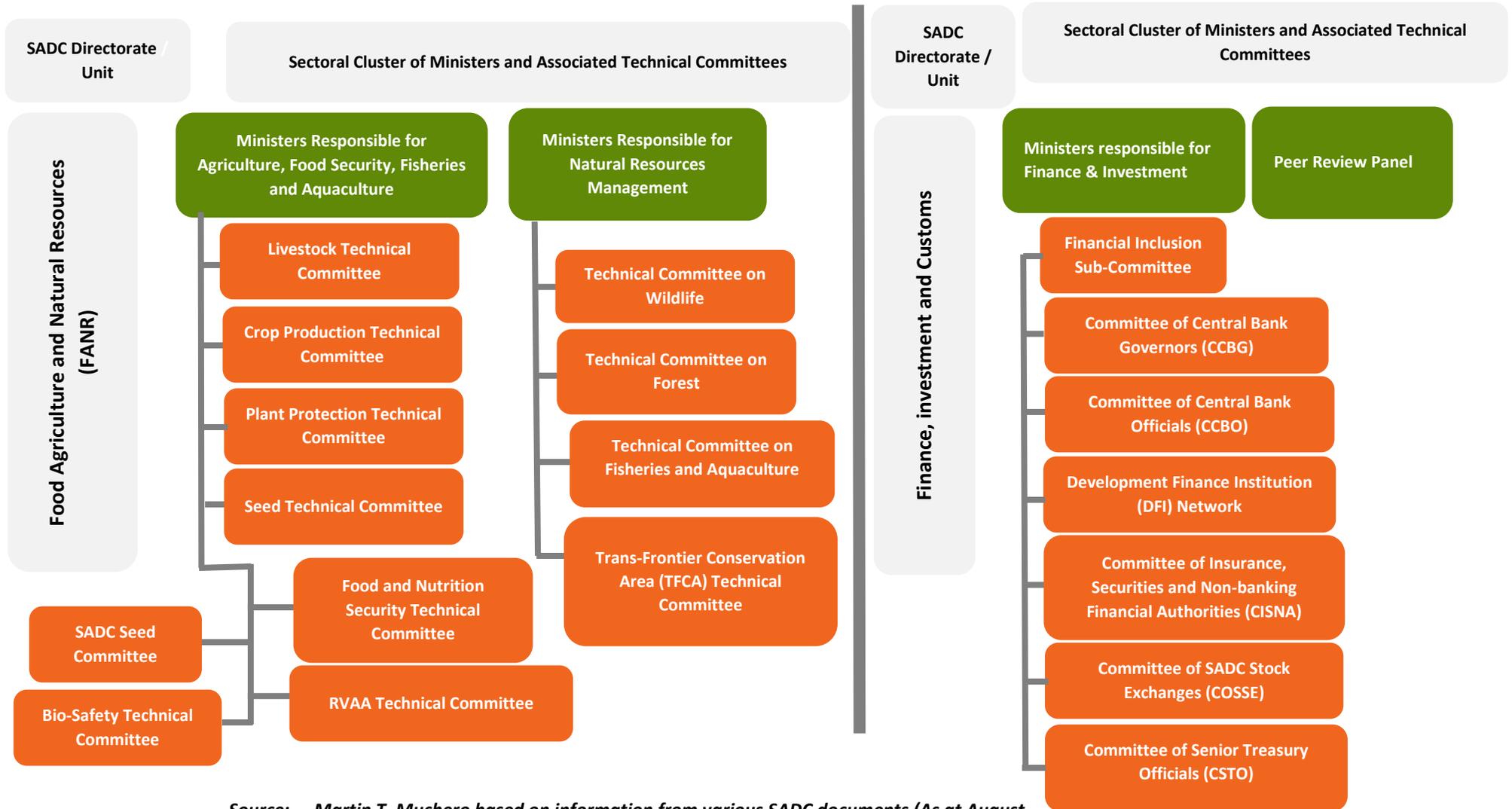
- The Centre for Coordination of Agricultural Research for Southern Africa (CCARDESA) based in Gaborone, Botswana. Founded by SADC Member States, CCARDESA's role is to harmonise the implementation of agricultural research and development (R&D) in the SADC region. It does this through the following interventions: coordinating implementation of regional agricultural R&D programmes; facilitating collaboration among stakeholders of the national agricultural research systems (NARS); promoting public – private partnerships in regional agricultural R&D; and improving agricultural technology generation, dissemination and adoption in the region through collective efforts, training and capacity building;

**Figure 5: SADC Technical Committees – Aligned to Relevant Directorates of the SADC Secretariat**



Source: Martin T. Muchero based on information from various SADC documents (As at August 2019)

Figure 5: SADC Technical Committees – Aligned to Relevant Directorates of the SADC Secretariat (Cont.)



Source: Martin T. Muchero based on information from various SADC documents (As at August 2019)

The Regional Tourism Organisation for Southern Africa (RETOSA) based in Johannesburg, South Africa. RETOSA is a SADC body responsible for the Region's tourism destination marketing across 14 Southern African countries: Angola, Botswana, the Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mozambique, Namibia, Seychelles, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe. It aims to increase and reinforce awareness of SADC as a desirable vibrant tourist destination, with the purpose to increase tourism arrivals, tourism revenue and investments into the region as well as improved regional competitiveness thus promoting socio-economic development;

SADC Development Finance Resource Centre (SADC-DFRC) based in Gaborone, Botswana. SADC-DFRC is a subsidiary institution of SADC established in July 2003 to serve as a sub-regional centre of excellence to strengthen the SADC Development Finance Institutions (DFIs) Network and to enhance the capacity of the SADC DFIs to deliver on their mandates towards the achievement of the SADC RISDP goals of economic growth, employment generation and poverty alleviation;

SADC Regional Peace Training Centre (SADC-RPTC) based in Harare, Zimbabwe. SADC-RPTC was established in 1996 to provide training for peace support missions in the region. It forms part of the core objectives of the Organ on Politics, Defence and Security Co-operation. Key among its objectives include: promoting regional cooperation in peace and security amongst SADC Member states:

River Basin Organisations (RBO). These include the Limpopo Watercourse Commission (LIMCOM); the Orange-Senqu Commission (ORASECOM); the Zambezi Watercourse Commission (ZAMCOM); the Permanent Okavango River Basin Commission (OKACOM) and the Commission Internationale du Bassin Congo-Oubangui-Sangha (CICOS), among others. In general, these organisations are charged with the responsibility of promoting the equitable and reasonable utilization of the water resources of the various river basins they are responsible for as well as the efficient management and sustainable development of such river basins; and

SADC Council of Non-Governmental Organisations (SADC-CNGO) based in Gaborone, Botswana. SADC-CNGO is a regional umbrella body of NGOs operating in SADC Member States. The organisation was formed in 1998 to facilitate effective and meaningful engagement between civil society in the region and SADC institutions at national and regional levels.

Some of these organisations provide avenues through which NSAs can also be involved in the processes of supporting the implementation of SADC's regional integration agenda.

## 5. SADC Strategic Guiding Frameworks

This section will briefly outline the key strategic frameworks that drive SADC's regional integration agenda and therefore key strategies that NSAs must be aware of and work within in support of regional integration in SADC. The key frameworks discussed below are the Treaty establishing SADC, as Amended; the Revised SADC Regional Indicative Strategic Development Plan (RISDP); the Strategic Indicative Plan for the Organ on Politics, Defence and Security Cooperation (SIPO); the SADC Regional Agricultural Policy (RAP), the SADC Industrialisation Strategy and Roadmap; and several SADC Protocols.

### 5.1 The Treaty Establishing SADC, as Amended

Through the 1992 Declaration and Treaty Towards the Southern African Community, countries in Southern Africa committed as a community, to a shared future of deeper economic cooperation and integration on the basis of balance, equity and mutual benefit, providing for cross-border investment and trade, and freer movement of factors of production, goods and services across national borders; common economic, political, social values and systems; enhanced enterprise and competitiveness; democracy and good governance; respect for the rule of law and the guarantee of human rights; popular participation and alleviation of poverty; and strengthened regional solidarity, peace and security, in order for the people of the region to live and work together in peace and harmony.

In the amended Treaty of 2001, Article 5 further elaborates on SADC's key objectives which are also known as the SADC Common Agenda. Annex 1 provides the full listing of these objectives. However, key among the objectives, and in alignment with the 1992 vision and ambitions, is the overall desire to promote sustainable and equitable economic growth and socio-economic development that will ensure poverty alleviation with the ultimate objective of its eradication, enhance the standard and quality of life of the people of Southern Africa and support the socially disadvantaged through regional integration.

As noted under Article 21 of the amended Treaty, SADC Member States prioritised the following as key areas of co-operation in order to operationalise this SADC Common Agenda:

- food security, land and agriculture;
- infrastructure and services;
- trade, industry, finance, investment and mining;
- social and human development and special programmes;
- science and technology;
- natural resources and environment;
- social welfare, information, and culture;
- politics, diplomacy, international relations, peace and security.

The regional preference is unmistakably focused on agriculture, infrastructure, trade and industrialisation with the support of other key areas of co-operation.

### 5.2 Regional Indicative Strategic Development Plan

The SADC vision of a common future within a regional community and its mission to promote sustainable and equitable economic growth and socio-economic development propelled it to develop the SADC Regional Indicative Strategic Development Plan (RISDP) as a consistent and comprehensive programme of long-term economic and social strategies for achieving the SADC Common Agenda. The RISDP's ultimate objective aimed at deepening the integration agenda of SADC with a view to accelerating poverty eradication and the attainment of other economic and non-economic development goals.

The first RISDP was approved in 2003 and it came into force in 2005 as a fifteen year plan to 2020. It prioritised intervention areas into two main categories. First were the Cross-Sectoral Intervention Areas including poverty eradication; combating of the HIV and AIDS pandemic; gender equality and development; science and technology; information and communication technologies; environment and sustainable development; private sector; and statistics. The second category were Sectoral Cooperation and Integration Intervention Areas including trade/economic liberalisation and development; infrastructure support for regional integration and poverty eradication; sustainable food security; and human and social development.

In 2007 was the first major revision and re-prioritisation of regional priorities in the RISDP. At their meeting held in Lusaka, Zambia in August 2007, the SADC Council of Ministers re-prioritised the RISDP into four categories, namely: (a) Trade/Economic liberalization and development including free movement of goods, services and factors of production; stability oriented macroeconomic convergence; financial market integration and monetary cooperation; intra-regional investment and foreign direct investment; and productive competitiveness and supply side capacity; (b) infrastructure in support of regional integration; (c) peace and security cooperation (as a pre-requisite for achieving the Regional Integration Agenda); and (d) special programmes of regional dimension under Education and Human Resource Development, Health, HIV and AIDS and other Communicable Diseases, Food Security and Trans-boundary Natural Resources, Statistics, Gender Equality, and Science, Technology and Innovation and Research and Development (SADC 2007).

The next major revision of the RISDP was in 2015 for the remaining years to 2020. Taking into account the experiences and lessons learned, and new developments that had occurred since 2007, the Revised RISDP of 2015 re-organised the Region's priorities into the following four pillars: (a) Industrial Development and Market Integration; (b) Infrastructure in support of regional integration; (c) Peace and security cooperation; and (d) Special programmes of regional dimension. These priorities will each be discussed in sub-sections below.

In 2019, a study was commissioned by the SADC Secretariat into the formulation and development of the SADC Vision 2050 and the RISDP (2020 – 2030) Blueprint to replace the RISDP (2005 – 2020) and Strategic Indicative Plan for the Organ on Politics, Defence and Security Cooperation (SIPO) (discussed in more detail under Section 5.3). The RISDP (2020 – 2030) Blueprint is expected to bring together into one blueprint the RISDP and SIPO. The Vision 2050 and RISDP 2020 – 2030 blueprint will define the future priority areas for SADC and consequently, the functions around which SADC institutions will be developed.

### **5.2.1 Industrial Development and Market Integration**

Under the Revised RISDP (2015 – 20), Industrial Development and Market Integration was marked Priority A. The overall goal of this intervention area under RISDP (2015 – 2020) is to facilitate competitive and diversified industrial development, trade and financial liberalization and integration, macroeconomic stability and convergence, as well as increased investment for deeper regional integration and poverty eradication in the SADC Region. Therefore, under this priority area, focus would be targeted at sustainable industrial development, productive competitiveness and supply side capacity; free movement of goods and services; stability oriented macroeconomic convergence; financial market integration and monetary cooperation; intra-regional investment and foreign direct investment; and deepened regional integration.

To the above effect, the RISDP prioritised actions towards (i) increased regional value chains and value addition for agricultural and non-agricultural products; (ii) consolidation of the SADC Free Trade Area (FTA); (iii) enhanced macro-economic environment; (iv) improved financial market systems and monetary cooperation; (v) improved intra-regional and foreign direct investment; (vi) increased intra-Africa trade; (vii) improved involvement of private sector in regional integration; and (viii) enhanced progress for deepening regional integration (SADC 2015).

## **5.2.2 Infrastructure in support of regional integration**

Under the Revised RISDP (2015 – 20), Infrastructure in support of regional integration was marked Priority B. The overall objective of this intervention area under RISDP (2015 – 2020) is to achieve efficient, seamless, integrated and cost-effective cross-boundary infrastructure networks and services that will enable economic development, regional integration and poverty alleviation in the region. Under this priority area, focus would be targeted at Energy; Transport (surface, air and intermodal); Tourism; ICT; Meteorology; and Water.

To achieve this objective, the RISDP targeted actions towards (i) harmonised strategies, policies and regulatory frameworks for development and operation of cross-border infrastructure and services in energy, transport (surface, air and intermodal), tourism, ICT, meteorology and water; (ii) enhanced integrated infrastructure and networks; (iii) improved capacity for construction, maintenance and operation of regional infrastructure and services; (iv) increased access and affordability to infrastructure and services; and (v) increased competitiveness and liberalisation of regional markets for energy, ICT, transport and tourism (SADC 2015).

## **5.2.3 Peace and Security Cooperation**

Under the Revised RISDP (2015 – 20), Peace and security cooperation was marked Priority C. Peace and security is the subject matter of further discussions under Section 5.3.

## **5.2.4 Special Programmes of Regional Dimension.**

Under the Revised RISDP (2015 – 20), Special programmes of regional dimension were marked Priority D. Specifically covered under the Special programmes priority area include Education and Human Resource Development; Health, HIV and AIDS and other diseases of public health importance; Employment and Labour; Food and Nutrition Security; Trans-boundary Natural Resources; Environment; Statistics; Private Sector; Gender Equality; and Science, Technology and Innovation and Research and Development (SADC 2015). Each of these priority areas is discussed briefly in the next sub-sections.

### **5.2.4.1 Education and Human Resource Development**

Under this priority area in the RISDP (2015 – 2020), SADC aims to enhance human capabilities, to improve utilisation and to reduce vulnerability of its SADC citizens with the ultimate goal of contributing to eradicating human poverty and to attaining the well-being of its citizens.

### **5.2.4.2 Health, HIV and AIDS and other diseases of public health importance**

Under this priority area, SADC aims, in line with the Maseru Declaration on HIV and AIDS, to decrease the number of HIV and AIDS infected and affected individuals and families in the SADC region so that HIV and AIDS is no longer a threat to public health and to the socio-economic development of Member States.

### **5.2.4.3 Food Security and Trans-Boundary Natural Resources Management**

Under this priority area, SADC aims to develop, promote, coordinate and facilitate harmonisation of policies and programmes aimed at increasing agricultural and natural resources production and productivity primarily in order to ensure food and nutrition security and sustainable economic development in the region. Among the key measures designed to achieve this objective include:

- Improved production, productivity and competitiveness of agricultural products (crops, livestock, fisheries, forestry, and wildlife) on a sustainable basis to support trade, industry and food and nutrition security in the Region;

- Improved food and nutrition security by reducing socio and economic vulnerabilities and developing long-term resilience and adaptive capacities for food and nutrition security including the production of a diversified range of food products;
- Increased market access for agricultural products (crops, livestock and natural resources);
- Enhanced sustainable management of natural resources by facilitating the implementation of the protocols on fisheries, forestry and wildlife; and
- Conservation and utilisation of plant and animal genetic resources (SADC 2015).

These objectives are to be achieved through the implementation of the SADC Regional Agricultural Policy (RAP) as approved by SADC Council of Ministers in August 2014. More specifically in the area of food and nutrition, the above objectives of the RAP are implemented through the SADC Food and Nutrition Security Strategy (FNSS) (also approved by the SADC Council of Ministers in August 2014). Other protocols implemented in the attainment of the above objectives include the Protocol on Forestry of 2003; Protocol on Fisheries of 2003; the Protocol on Environment for Sustainable Development of 2014; and the Protocol on Wildlife of 1999.

#### **5.2.4.4 Statistics**

Under this priority area in the revised RISDP (2015 – 2020), SADC facilitates the compilation and dissemination of quality disaggregated regional statistics including statistics for improved monitoring and analysis of poverty trends in the Region.

#### **5.2.4.5 Gender Equality, Women and Youth**

Under this priority area in the revised RISDP (2015 – 2020), the focus is on facilitating the attainment of women's empowerment and gender equality; the promotion of gender-responsive and human-centred development; poverty alleviation; and inclusion and social justice.

Some of the measures to achieve this objective include (i) policy development and harmonisation of regional and national frameworks on women's economic empowerment and gender-based violence; (ii) gender mainstreaming in all SADC structures and institutions at Member States level; (iii) equal participation and representation in politics and decision making; (iv) research, monitoring and evaluation of the implementation of SADC Gender commitments; and (v) enhanced youth development, empowerment and participation of youth in all aspects of social-economic development and regional integration (SADC 2015).

These actions are guided through the implementation of, among other such instruments, the SADC Protocol on Gender and Development; the SADC Gender Policy; the SADC Regional Strategy and Framework of Action for Addressing Gender Based Violence (2018 – 2030); and the SADC Strategic Plan of Action on combatting Trafficking in Persons, Especially Women and Children (2009-2019) (SADC 2015).

#### **5.2.4.6 Science, Technology and Innovation (STI) and Research and Development**

Under the Science, Technology and Innovation (STI) priority area, SADC aims to create an enabling environment to harness STI as a tool to address socio-economic challenges for sustainable development in the region. Some of the measures designed to implement the objective of STI include (i) enhanced application of science, technology and innovation to support the priorities of regional integration; (ii) the promotion of Public Private Partnerships (PPP) investment in STI and Research and Development infrastructure; (iii) the promotion of women and youth participation in science, engineering and technology and developing; and (iv) the strengthening of regional STI capacities (SADC 2015). These measures are guided by the SADC Protocol on Science Technology and Innovation of 2008.

### **5.3 Strategic Indicative Plan for the Organ on Politics, Defence and Security Cooperation**

The SADC Strategic Indicative Plan for the Organ on Politics, Defence and Security Cooperation (SIPO) was signed in 2004 as the blueprint for peace and security in the SADC Region designed for five years ending 2009. In 2010, SIPO was revised resulting in SIPO II that is expected to run till 2020. SIPO is designed to support the attainment of the SADC Common Agenda as stated in Article 5 of the SADC Treaty, as Amended (see Annex 1). This intervention area is key as the Region believes that peace and security are a pre-requisite for achieving the regional integration agenda. Guiding the implementation of this intervention area is the SADC Protocol on Politics, Defence and Security Co-operation.

The specific objectives of SIPO II include measures towards: (i) enhanced regional peace building; (ii) enhanced conflict prevention, resolution and management; (iii) enhanced disaster risk management; (iv) enhanced regional collective defence; (v) enhanced regional early warning; (vi) enhanced cross border security; (vii) enhanced training in Peace Support Operations; and (viii) enhanced migration and refugee management (SADC 2015). In alignment with programmes implemented under the Gender Equality, the peace and security priority programmes also include combating human trafficking, combating and preventing rape, abuse and violence against women and children, and combating against illegal migrations.

### **5.4 Selected Protocols and Strategies**

Protocols are instruments that implement the SADC Treaty. Protocols define, for a specified area of interest, the strategic issues, intervention areas and oftentimes institutional structures that will implement these protocols. Overall, the implementation of protocols contributes to the attainment of SADC's overall regional integration agenda.

In the above narrative, specific protocols have been cited. Annex 1 is a comprehensive listing of SADC protocols thus far promulgated. The Annex also provides a brief description of the main or overall objectives of the protocols. Implementation of these protocols often calls for strategies to be developed. Depending on the areas of focus, a protocol can have multiple strategies addressing its implementation. The next sub-sections highlight selected protocols and strategies in detail as they are the anchor for the region's focus on trade, agriculture and industrialisation.

#### **5.4.1 Protocol on Trade**

The SADC Protocol on Trade is one of the oldest protocols and it is also one of the most complex. The Protocol consists of several Annexes including Annex I (Rules of Origin for Products Traded within the Southern African Development Community); Annex II (Customs Cooperation within the Southern African Development Community); Annex III (Simplification and Harmonisation of Trade Documentation and Procedures); Annex IV (Transit Trade and Transit Facilities); and Annex V (Trade Development); Annex VI (The Settlement of Disputes Between the Member States of the Southern African Development Community); Annex VII (Trade in Sugar); and Annex VIII (Sanitary and Phytosanitary (SPS)). It is also complemented by protocols in other areas including the Protocol on Trade and Services, Protocol on Finance and Investment, Protocol on Transport and Protocol on Movement of Persons. The key focus of the protocol is to eliminate barriers in intra-SADC Trade and to do this, the Region agreed on a process of and timeline for reducing tariffs and non-tariff barriers to trade.

Signed in 1996, the Protocol on Trade came into force in 2001. Its overall objective is to further liberalise intra-regional trade in goods and services on the basis of fair, mutually equitable and beneficial trade arrangements. Key provisions to achieving this overall objective include the elimination of barriers to intra-SADC trade within 8 years of the Protocol coming into force; elimination of import duties through a phased reduction and eventual elimination; elimination of export duties; and elimination of non-tariff barriers to trade.

The first major milestone, the establishment of a Free Trade Area for SADC, was scheduled for 2008 at which point it was expected that all tariffs would have been reduced to zero. According to the SADC website, the minimum conditions for the establishment of a Free Trade Area, i.e. 85% of intra-regional trade amongst the partner states attained zero duty, was attained in 2008 and so the SADC Free Trade Area was launched. It was not until January 2012, however, that the maximum tariff liberalisation were attained when the tariff phase down process for sensitive products was completed. The SADC Website reports that thirteen out of the original fifteen SADC Member States (before Comoros joined), are part of the SADC Free Trade Area, while Angola and the Democratic Republic of Congo (DRC) remain outside. According to the SADC website, since 2000, when implementation of the SADC Trade Protocol commenced, intra-SADC trade has more than doubled, with intra-SADC trade estimated to have grown from about US\$13.2 billion in 2000 to about US\$34 billion in 2009, representing an increase of about 155%. However, as a proportion of total SADC trade, intra-SADC trade has only grown from 15.7% to 18.5% in the same period.

According to the 2017 study supported by GIZ, it is estimated that informal cross border trade by small scale traders, many of whom are women, contributes between 30-40% of total SADC trade with one study estimating the value of this business to be in the region of USD17.6 billion per year. However, the bulk of this cross-border business is through informal routes. The cross border trade plays a very important role in sustaining livelihoods and food security, especially in border regions, for a major proportion of the region's population (GIZ 2017).

Annex III of the Protocol on Trade calls for the development of Simplified Trade Regime (STR) in order to reduce transaction costs for small particularly cross border traders. The key to enhance small scale cross border trade is in the reduction of transaction costs and removal of onerous formalities which have tended to encourage small scale traders to use informal channels to cross borders. By reducing their transactions costs and formalities at the borders, small scale traders would be encouraged to use the formal border crossings and start to benefit from the duty and quota free regime of the Free Trade Area. This also has a benefit to authorities who can better track the movement of goods, and have the scope to target interventions to assist small traders to formalise their business into more sustainable commercial enterprises through which Governments can also begin to collect more tax revenue (GIZ 2017).

The STR therefore seeks to address issues relating to trade facilitation; simplification of Rules of Origin; simplification of customs procedures; and reduction of non-tariff barriers. In the 2017 GIZ sponsored study, the proposal is to amend Annex III to introduce measures developed under STR to enhance small scale cross border trade. This is an opportunity that NSAs have at ensuring policy formulation that meet the needs of the majority of the small scale traders and trade in general.

#### **5.4.2 SADC Industrialisation Strategy**

As noted earlier under Section 5.3.1, the overall objective of the first pillar of the Revised RISDP of 2015, Industrial Development and Market Integration, is to facilitate competitive and diversified industrial development, trade and financial liberalization and integration, macroeconomic stability and convergence, as well as increased investment for deeper regional integration and poverty eradication in the SADC Region. One of the key instruments for achieving this objective is the SADC Industrialisation Strategy and Road Map (2015 - 2063).

The SADC Industrialisation Strategy is anchored on three pillars, namely: (i) industrialization as champion of economic and technological transformation; (ii) competitiveness (at the firm/industry, country and regional level) as an active process to move from comparative advantage to competitive advantage; and (iii) regional integration and geography as the context for industrial development and economic prosperity. These pillars are intended to achieve an overall ambition that should see SADC economies depend not only on the rich natural resources or low-cost labour as a platform for industrialization and modernization but on total factor productivity. Total factor

productivity is the efficiency with which resources are deployed in the production process. This necessitates a focus on advanced skills and state-of-the-art technologies.

Apart from the role of government in the industrialisation process, the Industrialisation Strategy has a clear vision on the role of the private sector and non-state actors, the need for mainstreaming Gender and Youth, and the desire for strengthening small and medium scale enterprises. With respect to the role of the private sector, which role can be extended to non-state actors, the strategy noted that they must be consulted and involved in implementing the Industrialization Strategy. This position acknowledges that Public-Private Partnerships are crucial in discovering and easing constraints on business and employment growth and in improving the climate for Doing Business and attracting investment. The industrialisation strategy proposed the establishment of a platform for public-private dialogue on industrial policy and its implementation, whereby business leaders from Member States could participate in regional policy-making. Several such forums have since been developed or their functions enhanced. These include the strengthening of the Industrial Development Forum, the establishment of the SADC Industrialisation Week and the development of the SADC Business Council. Clearly, these forums (further discussed in detail in the next sub-sections) raise opportunities for non-state actors to also participate in the implementation of the SADC Industrialisation Strategy.

In the area of strengthening small and medium enterprises, the Industrialisation Strategy will focus on increasing the small business survival rate via training programmes, access to information, financing, favourable fiscal policy environment and assistance in accessing modern technology. The strategy notes that SMEs, are a domain where the majority of women and youth are concentrated and that SMEs make important contributions to the growth and development of the SADC countries in terms of output, employment, and the supply of consumer products and services. Further noting the challenges facing the SME sector, namely, operational capacity; limited management and entrepreneurial skills; lack of initiative to engage into sophisticated business endeavours; lack of bankable collateral; poor quality of products and services; lack of trade and industry related information; and poor planning, the strategy calls on SADC Member States to provide for these requirements including deliberate capacity development and upgrading; entrepreneurial and technical skills training, incubation and nurturing youth innovation, technological upgrading, study tours, and skills development in such important areas as accounting, marketing and management. The NSAs have a wide range of opportunities in these strategies to support and influence the implementation of the SADC Industrialisation Strategy.

The most recent achievements towards implementing the SADC Industrialisation Strategy have been at the policy level as well as at the business level. Box 3 is a list of some of the key recent achievements attained towards the implementation of the SADC Industrialisation Strategy and Roadmap.

### **Box 3: Progress in the implementation of the SADC Industrialization Strategy and its Action Plan**

- Development of Protocol on Industry;
- Review and alignment of national industrialization strategies and policies with the SADC Industrialization Strategy;
- Implementation of SADC Regional Action Programme on Investment (RAPI) with a view to supporting industrialization activities;
- Development of National Industrial Upgrading and Modernisation Programmes (IUMP's)
- Development of value chains and value additional strategies for each priority value chain;
- Development and implementation of Action Plan for SADC Regional Manufacturing of Medicines and Health Commodities for Communicable and Non-Communicable Diseases, to implement the SADC Pharmaceutical Business Plan and the Strategy for Regional Manufacturing of Generic Medicines and Health Products for Communicable Diseases;
- Development of capacities and capabilities of SME's to enhance their participation in industrialization and value chains;
- Development and implementation of Regional Private Sector Strategy in line with Savuti Declaration;
- Development of the Protocol compliance monitoring;
- Ratification and domestication of SADC Protocol on Trade in Services, with priority given to sectors that affect regional industrialization;
- Negotiation of CFTA agreement, with particular emphasis on the industrial pillar and negotiations relevant for creating policy space to accelerate industrialization;
- Development and implementation of SADC Youth Economic Empowerment Programme;
- Development and implementation of SADC Persons with disabilities Economic Empowerment Programme; and
- Development and installation of an effective M&E system (covering both process monitoring and output monitoring) for assessing and evaluating progress.

A selected sample of some of the notable achievements including the Industrial Development Forum, the SADC Industrialisation Week, and the Private Sector Engagement Mechanisms where opportunities exist for participation by NSAs will be further elaborated on in the next sub-sections.

#### **Industrial Development Forum**

The Industrial Development Forum (IDF) is a SADC structure established to provide technical inputs on strategic industrialization intervention areas; to ensure inclusiveness (by member, geography and sub-region) of actors and equity of their economic impact; to facilitate the harmonization of the rules and regulations affecting industrialization; and to provide an opportunity for direct and indirect contribution of the private sector, Centres of Excellence, NSAs etc. to speed up the industrialization and regional integration processes.

To the above effect, SADC outlined the roles and responsibilities of both the SADC Member States and the Private Sector including NSAs as depicted in Box 4.

#### **Box 4: SADC Industrial Development Forum (IDF)**

Roles, responsibilities and functions for IDF were elaborated for both Member States and the private sector participating organs including NSA's as follows:

***For Member States, these include:***

- Mobilising collective political will;
- Establish a National Commission on Industrialisation;
- Providing feedback to their Members on jointly discussed issues; and
- Strengthening capacities to play an effective industrialisation role

***For the private sector, responsibilities include:***

- Demonstrating readiness for constructive dialogue on the alliance for industrialization;
- Serving as a vehicle to initiate/interrogate/interface efforts to create regional value chains; and
- Facilitating the implementation of the Industrialisation Strategy, amongst other things

The IDF is convened by the Industrial Development and Trade (IDT) Directorate of the SADC Secretariat and its reports are submitted to the Standing Committee of Senior Officials for industry matters. It meets at least once a year to provide the necessary input on the implementation of the SADC Industrialisation Strategy. The IDF provides an opportunity for NSAs to participate in the formulation and implementation of actions supporting SADC's industrialisation Strategy.

#### **SADC Industrialisation Week**

Following the approval of the SADC Industrialisation Strategy and Roadmap (2015 – 2063), the Committee of Ministers of Trade (CMT) urged SADC Member States to disseminate information on the Industrialization Strategy and Roadmap through pamphlets and publications at trade fairs and other national and regional events/conferences; to commemorate the Africa Industrialization Day in the region in a much more effective way; to intensify engagement and develop partnerships with development partners and other third parties to promote the SADC Industrialization Strategy at national and regional levels; and to actively engage policy makers, private sector, academia, researchers and other key stakeholders in policy dialogue to enhance work on industrialization at both national and regional levels. It was from this decision that the SADC Industrialization Week was formed and the first such week was held in Mbabane, Eswatini in 2016 to coincide with the SADC Summit. Since then, the SADC Industrialisation Week has been held on the margins of the ordinary annual SADC Heads of States and Government Summit (ordinarily held in August of each year) in the country that is taking over the Chairpersonship of SADC as an annual public-private engagement platform aimed at fostering new opportunities for intra-African trade and investment in developing cross border value chains in the region. Box 5 is a summary of the themes under which the SADC Industrialisation Week has been held since its inauguration. Private sector recommendations and outputs from this event are reported directly to the annual SADC Ministers Meeting, a body which determines policy discussions for Heads of State. This forum is therefore vital for the voice of the NSAs in policy formulation and its implementation.

### Box 5: SADC Industrialisation Week: Themes

- The 1<sup>st</sup> SADC Industrialisation Week was held in August 2016 in Eswatini under the theme: **Resource Mobilization for Investment in Sustainable Energy Infrastructure for an Inclusive SADC Industrialization and for the Prosperity of the Region;**
- The 2<sup>nd</sup> SADC Industrialisation Week was held in South Africa in August 2017 under the theme: **Partnering with the Private Sector in Developing Industry and Regional Value Chains;**
- The 3<sup>rd</sup> SADC Industrialisation week was hosted in Namibia in August 2018 under the theme: **Promoting Infrastructure Development and Youth Empowerment for Sustainable Development;**
- The 4<sup>th</sup> SADC Industrialisation Week was hosted in Tanzania in August 2019 under the theme: **A conducive Environment for Inclusive and Sustainable Industrial Development, Increased Intra-regional Trade and Job Creation;**
- The next (5<sup>th</sup>) SADC Industrialisation Week should be held in August 2020 in Maputo as Mozambique takes on the Chairpersonship of SADC

Furthermore, this forum gives NSAs the opportunity to showcase their business ventures, wares, and share business ideas. The SADC Industrialisation Week is organised in such a manner that provides NSAs various opportunities including those outlined in Box 6.

### Box 6: The SADC Industrialisation Week – Opportunities for NSA's

Provides for:

- Exhibitions by Member States, private sector, NSA's SADC Secretariat and relevant subsidiary organizations, invited strategic partners and ICP's;
- Exhibitions of publicity materials in relation to the industrialization strategy of SADC;
- Showcasing of existing and potential national and regional value chains, Business to Business exchanges, interactive networking kiosks, business clinics, business and institutional matching and exploration of industrial, trade and investment opportunities; and
- Organized Factory Tours / Visits to selected Small and Medium Scale Enterprises and cooperatives in the host country

### SADC Business Council

With regards to engagement with and involvement of the private sector in the SADC programme of action, the SADC Regional Indicative Strategic Development Plan (RISDP) specifies a number of outputs (see Box 7) in the SADC decision making structures where the private sector has a major role to play.

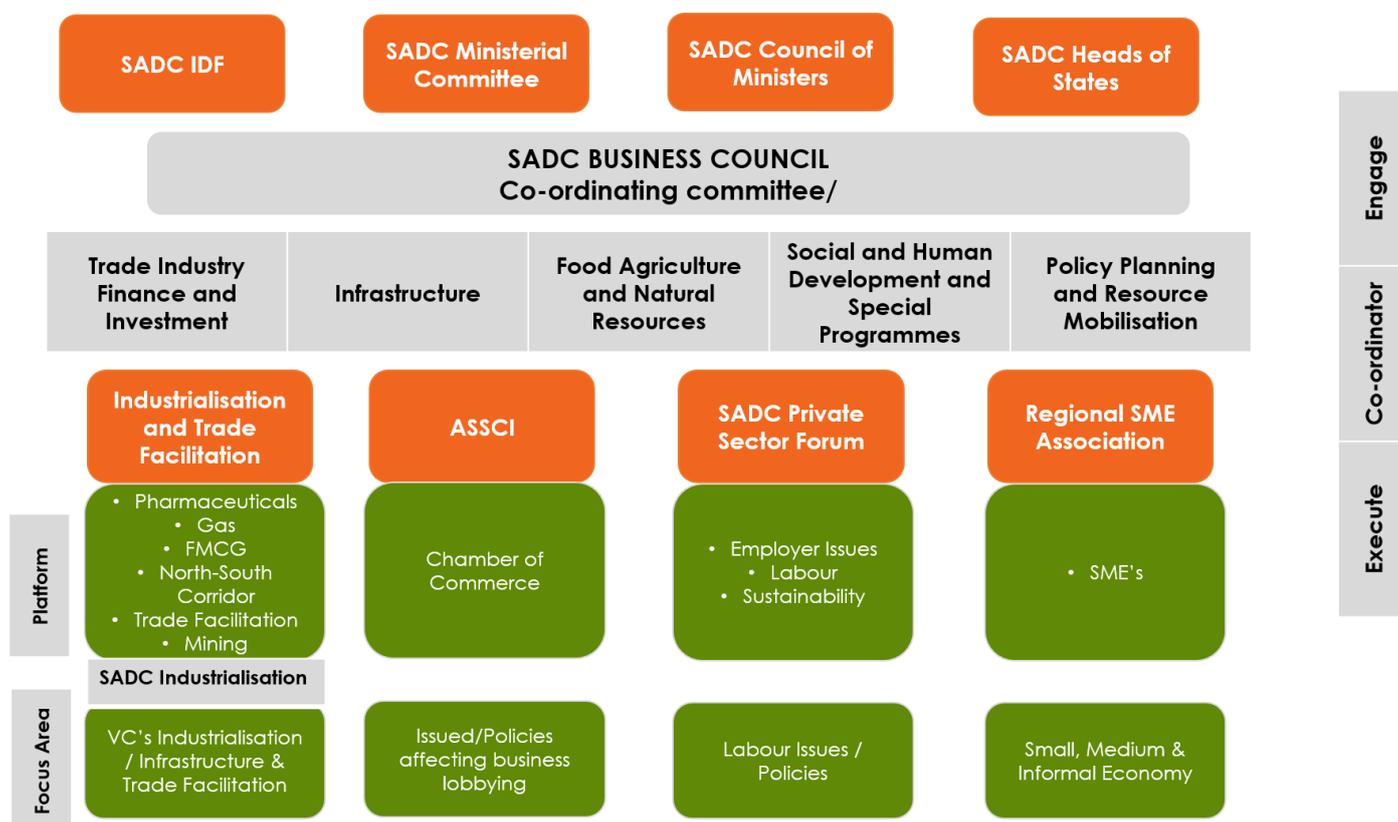
### Box 7: RISDP Outputs in Relation to Engagement with Private Sector including NSA's

- Development of policy guidelines on Public-Private Sector Partnerships;
- Initiation of an institutionalised public-private dialogue;
- Incorporation of Private Sector representatives in SADC National Committees;
- Establishment of a Private Sector engagement unit in the SADC Secretariat;
- Inception of regional competitiveness and business climate surveys in the SADC region;
- Development of SADC a biannual business forum; and
- Facilitation of a regional private sector organisation

Apart from the SADC-NSA proposed mechanism, SADC also commissioned a study into the development of a SADC-Private Sector Engagement Mechanism that would support the implementation of the SADC Industrialisation Strategy and Roadmap. This study was undertaken by the Southern African Trust and a report submitted in July 2018. Ensuing from discussions with the private sector, and acknowledging that a mechanism for private sector engagement with SADC needs also to build on national processes, national public private dialogues and also sector-related dialogue, in particular as the implementation of industrialisation must occur at the national level, various other structures, reporting through the IDF have since been proposed.

The overall proposed SADC-private sector engagement mechanism has therefore since been recommended as depicted in Figure 6. The proposed structure is intended to work with the relevant SADC Directorates in initiating and implementing concepts and therefore the entry points of the private sector into the SADC decision making process are similar to those available for the NSA as discussed in the previous section.

**Figure 6: Suggested SADC – Private Sector Engagement Mechanism**



### 5.4.3 SADC Regional Agricultural Policy and Regional Agricultural Investment Plan.

In 2014, the SADC Region approved and adopted its common agricultural policy, the SADC Regional Agricultural Policy (RAP) as its overarching policy framework in the agriculture sector including crops, livestock, forestry and fisheries. The RAP defines common agreed objectives and measures to guide, promote and support actions at regional and national levels in the agricultural sector of the SADC Member States in contribution to regional integration and the attainment of the SADC Common Agenda. Box 8 outlines the four specific objectives aimed at achieving the overall objective of the RAP. The third specific objective on improving private and public sector

engagement and investment in the agricultural value chains is specifically aimed at involving NSAs and the private sector in the implementation of the policy.

### **Box 8: Specific Objectives of the SADC Regional Agricultural Policy (RAP)**

- Enhance sustainable agricultural production, productivity and competitiveness;
- Improve regional and international trade and access to markets of agricultural products;
- Improve private and public-sector engagement and investment in the agricultural value-chains; and
- Reduce social and economic vulnerability of the region's population in the context of food and nutrition security and the changing economic and climatic environment

It is essential to note that the RAP takes into account the values, principles and priorities of the SADC Treaty, as Amended in 2001, the SADC Regional Indicative Strategic Development Plan of 2003, the SADC Dar-es-Salaam Declaration on Agriculture and Food Security of 2004, various SADC Ministerial decisions, the African Union (AU) New Partnership for Africa's Development (NEPAD) Comprehensive Africa Agricultural Development Programme (CAADP) of 2003, and the Malabo Declaration on Accelerated Agricultural Growth and Transformation for Shared Prosperity and Improved Livelihoods of 2014.

The Policy further recognises the existence and importance of SADC Protocols and policies with direct or indirect impact on the region's agriculture. These include but are not limited to the SADC Protocol on Trade and associated annexes including the Annex on Sanitary and Phytosanitary (SPS); Protocol on Fisheries; Protocol on Forestry; Protocol on Wildlife Conservation and Law Enforcement; Protocol on Shared Water Courses; Protocol on Gender and Development; Protocol on Transport, Communication and Meteorology, the SADC Water Policy, the Protocol on Environment and the SADC Industrialisation Policy. The Policy is a key instrument in the attainment of the fourth pillar of the SADC Revised RISDP of 2015 on agriculture and food security, and in the attainment of the SADC Industrialisation Strategy and Roadmap (2015 – 2063).

The RAP policy is intended to be long-term in terms of its duration of validity. This meant that the RAP should be pitched at a very high policy level. To implement it called for a phased approach which will be achieved through five-year implementation plans referred to as the SADC Regional Agricultural Investment Plans (RAIP). The first RAIP (2017 – 2022) was approved by SADC Council in March 2017 following a consultative process with key stakeholders. Deriving from the RAP, the RAIP outlines the priority programmes that can be implemented during the specific five year period. Incrementally, the next RAIP phases will be adjusted to take on emerging issues and follow through on previous priorities to ensure attainment of RAP objectives. The evaluation and reporting on the current RAIP (2017 – 2022) and the formulation and implementation of subsequent RAIPs provide NSAs opportunities to participate in the development of the agriculture sector in the SADC region. The RAIP (2017 – 2022) prioritised five programmes as outlined in Box 9.

## Box 9: SADC Regional Agricultural Investment Plan (RAIP) (2017-20220 Programmes

- **Programme 1: Increase Agricultural Production, Productivity and Competitiveness** whose key objective is to attain regional food self-sufficiency in basic strategic commodities, increase incomes, reduce hunger and poverty, and assist Member States individually and collectively to become major regional and global suppliers of selected strategic commodities. To achieve this, this programme will focus on **strengthening regulatory frameworks for agricultural development; enhancing agricultural research; development and innovation; improving capacities for monitoring and assessing agriculture production and productivity; improving infrastructure for agricultural production and marketing; and promoting low carbon and efficient (green economy) agricultural production systems.**
- **Programme 2: Increase Access to Markets and Trade of Agriculture Products** whose key is to develop a conducive environment for the trade and marketing of agricultural products by improving the efficiency of regional input/output markets and stimulating broad farmers' participation in domestic, regional and international markets; improving the regional and international trade regulatory environment; and improving the development of agricultural marketing infrastructure. To achieve this, the programme will focus **on improving regulatory frameworks for agricultural trade including supporting the implementation of the SADC Protocol on Trade**, in particular the SPS Annex and a Non-Tariff Barriers with respect to trade in agricultural products; **and improving infrastructure for access to markets and trade of agricultural products with a focus on strengthening agricultural value chains.**
- **Programme 3: Increase Investments in and Access to Finance for Agriculture** whose key objective is to stimulate private sector investment into agriculture as well as input, output and financial markets in the SADC Region. To achieve this, the programme will focus on **improving regulatory frameworks for agricultural finance and investments.**
- **Programme 4: Reduce Social and Economic Vulnerability in the Region** whose key objective is to reduce vulnerabilities in the agricultural sector brought about by climate change and variability; socio-economic factors such as gender inequality, HIV/AIDS and migration; and food insecurity in a changing economic environment. To achieve this, the programme will focus on improving policy framework for environmental management and sustainable use of natural resources; **improving environmental management and sustainable use of natural resources; and improving capacities for climate change adaptation and mitigation.**
- **Programme 5: Improve Food and Nutrition Security for the Region** whose main objective is to provide data and information for monitoring and evaluation of the implementation of the RAP. To achieve this, the programme will focus on **improving governance and coordination mechanisms for Food and Nutrition Security (FNS); and improving information management, monitoring and evaluation.**

During the period 2017 – 2018, with the support of SAT through the National Smallholder Farmers Association of Malawi (NASFAM), the SADC Secretariat embarked on a programme aimed at sensitising SADC Member States to the RAP and RAIP and to support them towards the development of their second generation National Agricultural Investment Plans (NAIPs). Through this support, Malawi, Tanzania and Madagascar were supported in 2017 to align their NAIPS to the RAIP. These workshops provided entry points for NSA, the private sector, government, farmers' organisations, NGOs and all key stakeholders to participate in the formulation of their second generation NAIPs for improved agriculture in their countries. The programme was extended to cover South Africa and Zimbabwe in 2018. The continued implementation of this programme to other countries will provide NSAs in those countries good opportunities to participate in the formulation and implementation of their national agricultural development strategies.

The need to accelerate the implementation of the RAIP spurred the development of the SADC Agricultural Development Fund (ADF) whose main purpose is to provide financial support for the implementation of the national agricultural investment plans within the framework of the RAP and RAIP. The ADF was approved by the SADC Council in August 2017. The SADC Secretariat is in the process of operationalising this ADF. The ADF provides added opportunities, when operational, for NSAs and other key stakeholders, to propose for financing, various activities that implement the RAIP.

## 6. Additional Opportunities for Non-State Actors Engagement in SADC's Regional Integration Processes

While the previous sections have outlined the various strategic instruments and institutions of SADC and pointed out the related areas where NSAs have the opportunity to participate in actions that influence the implementation of the SADC regional integration agenda, the key question is how do all these coherently fit together? Furthermore, where are the opportunities and challenges for non-state actors and the private sector in engaging meaningfully with the SADC structures to support the effective implementation for results of the SADC regional integration agenda? Part answer to these questions and therefore the key to this Regional Integration Toolkit lies with the Concept-to-Implementation Process Cycle that outlines SADC's decision-making processes as SADC implements its regional integration agenda. Figure 7 overleaf outlines this decision-making process and therefore entry points at which NSAs, the private sector and other supporting institutions can meaningfully engage with SADC.

It is essential to recall that the SADC Secretariat is the executive arm of SADC and therefore it is at the centre of SADC's decision-making processes towards their implementation at both the regional and national levels. It is also essential to recall that all SADC decisions start with a concept which the Secretariat has to actualise through the various means at its disposal. Therefore, for a concept to materialise in implementable programmes or projects, it needs first to be anchored in one of the SADC Secretariat Directorates or Units. It is then processed through the system till eventually approved by Council and endorsed by Summit following which it will then be implemented.

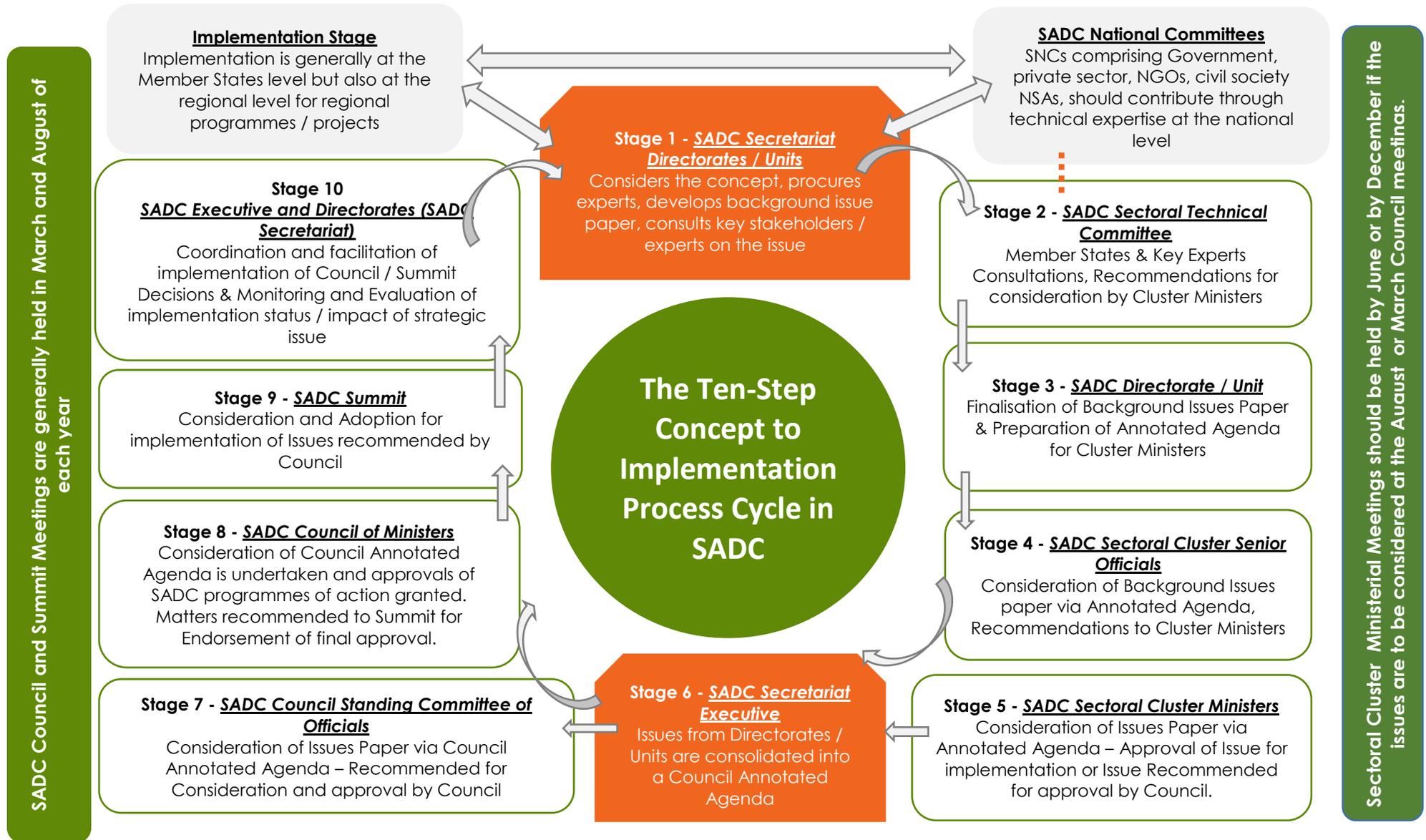
### 6.1 At the SADC National Committees (SNCs)

SADC National Committees should be both the main starting and end points of an issue of concern to SADC's regional integration processes (see Box 10). As discussed in Section 4, SNCs were established in the Treaty of SADC to provide input at the national level in the formulation of SADC policies, strategies and programmes of action; and to coordinate and oversee, at the national level, implementation of SADC programmes of action. This mandate gives SNCs the responsibility of initiating issues that should be formulated into the SADC programme of action through the ten step process.

#### Box 10: NSA's Input into SADC Decision-Making Processes

It is at the SNC level that the first opportunity for involving NSA exists. Through the meetings and consultations that take place at the Member States level, NSA's input should be provided. Unfortunately, as state in Section 4, SNC's in only a handful of SADC Member States are only partially operational. The lack of functioning SNC's or similar such structures at the Member States level is a major stumbling block for NSA's hence the importance attached to the SADC National-Regional Linkages (SNRL) Programme that GIZ is currently implementing to December 2021 to strengthen the functioning of the SNC's in SADC Member States.

**Figure 7: Concept-to-Implementation Process Flow Cycle in SADC**



**Source:** *Designed by Martin T. Muchero based on information from various SADC documents, interviews with key stakeholders and practical experience of having worked at SADC Secretariat for 11*

## 6.2 At the SADC Secretariat Level

The first (Stage 1) of the ten-step decision-making process starts with the SADC Secretariat receiving for consideration issues of concern raised by SNCs or SADC Member States. These issues and/or concerns are received through the relevant Directorates or Units of the Secretariat that are mandated with responsibilities in the different priority areas. Working closely with relevant technical committees at Stage 2 of the decision-making process, the relevant SADC Directorates or Units consider issues raised and at Stage 3, formulate policies, strategies or programmes and projects for consideration at the next levels of the approval process. The NSAs have the opportunity to influence and participate in the SADC decision-making processes at all these three stages (See Box 11).

### Box 11: Formulation of SADC Programme of Action

It is at Stages 1 to 3 of the decision-making process (Figure 6) that the involvement and importance of NSA's (as with all other actors) is most crucial as it is at these stages that the ideas are formulated into SADC programmes and projects

## 6.3 At the SADC Sectoral Cluster Senior Officials and Ministerial Clusters

At Stages 4 and 5 of the decision-making process, issues that have been formulated by the relevant SADC Secretariat Directorates or Units are presented to the relevant Cluster Senior Officials for clearing towards consideration by the relevant Cluster Ministerial Committees. These stages purely involve the SADC Secretariat and the relevant Senior Officials. Conclusions reached in these deliberations allow for the SADC Secretariat at Stage 6 to now include the issues raised into its major decision-making instrument, the Annotated Agenda for consideration by SADC Council through Stages 7 and 8. At Stage 9, the SADC Council seeks endorsement from the SADC Summit on its decisions giving the greenlight at Stage 10 for the SADC Secretariat to mobilise the necessary resources for the implementation (at both the regional and national levels) of the decisions by Council and Summit. While NSA may not have direct access to Council of Ministers and Summit decision levels, they still can contribute to the processes by engaging at the Member States level by sensitising the Permanent Secretaries (who form the Standing Committee of Senior Officials) to matters of interest that would be raised through the SADC Annotated Agenda (see Box 12).

### Box 12: Engagement at the National Level

Any input into the decisions that are sought should have been inputted at Stages 1-3 (Figure 6). However, NSA's at the national level can still engage with their relevant Senior Officials (who are the Permanent Secretaries of the relevant Ministries) through the appropriate channels as applicable in each SADC Member State to ensure the Senior Officials are sensitised to the issues under consideration. The window of opportunity also exists at the Senior Officials and Ministerial Committee level for NSA's to represent their issues but this is at the invitation of the relevant Ministerial Committees. Ordinarily, this is the place where the umbrella organisations of the NSA's can find space to represent their issues and constituencies.

SADC recognises the importance of NSAs, as well as the private sector and others to the successful implementation of its programme of action. To this effect, SADC recently engaged in developing more effective mechanisms of engaging with NSAs as well as with the private sector. With the support of the Southern Africa Trust (SAT), a report proposing such a mechanism has been produced. The objectives of the proposed mechanism are as outlined in Box 13. More specifically, the report on The Proposed SADC Mechanism for Engagement with Non- State Actors (NSAs) in Line with Treaty Provisions (Article 5 (2), 16A and 23) recommended that the participation and engagement of NSAs in the regional integration agenda be formalized through the establishment of an institutionalized mechanism as a way of fully operationalizing Article 23 of the Treaty and the subsequent amendments such as those contained in articles 5(2b) and 16A. Named the Non-State

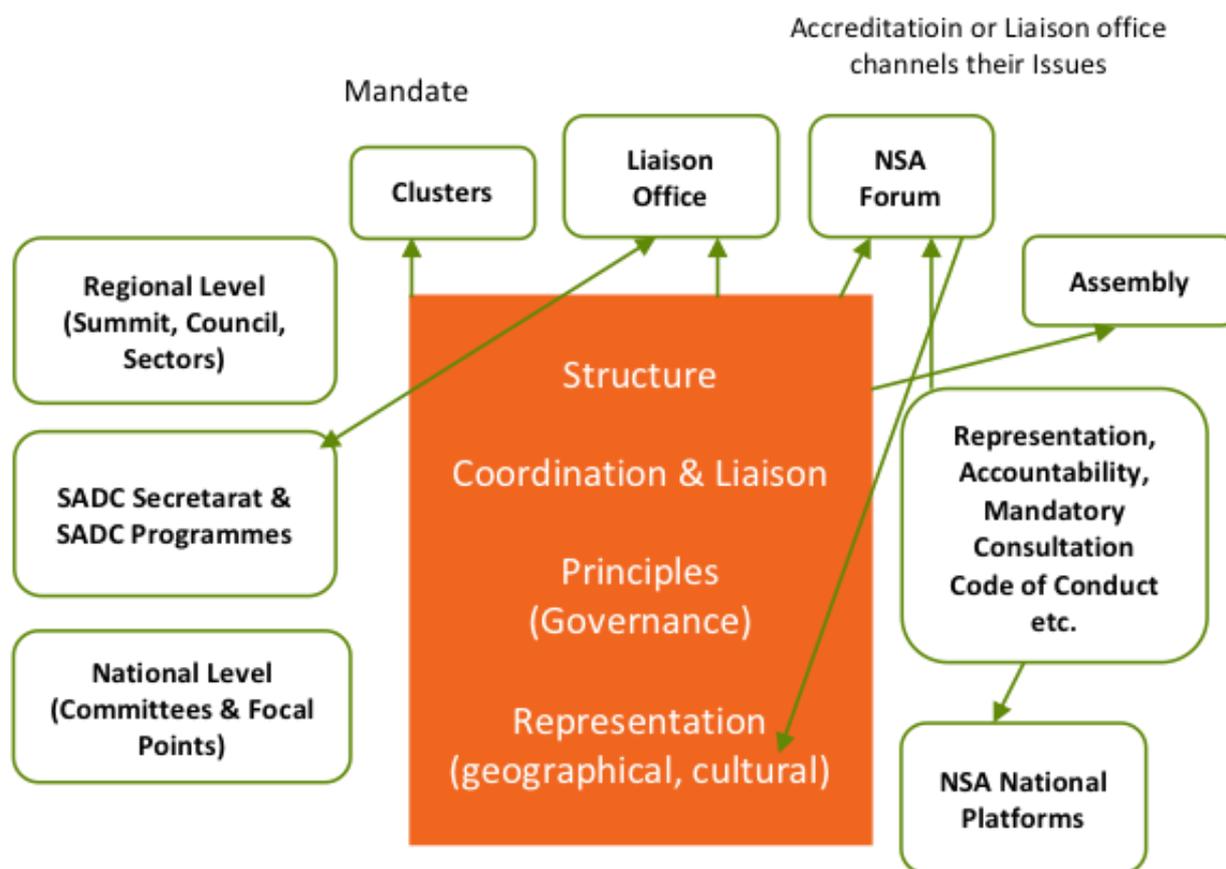
Actors Forum (The Forum), Figure 8 is the proposed mechanism of engagement between SADC and NSAs.

**Box 13: SADC-NSA Engagement Mechanism**

This mechanism (Figure 8), is expected to:

- Take SADC to the people;
- Provide for SADC and NSA's to consultatively work towards realizing SADC's priorities while ensuring a people-centred regional integration process;
- Enhance and strengthen partnerships between SADC and NSA's;
- Provide a structured framework for consultation between SADC and NSA's in regional integration processes;
- Provide an enabling environment for NSA's to participate in SADC processes and discussions; enhance coordination and harmonization of positions by NSA in SADC processes; strengthen the capacity of NSA's and other interest groups to more effectively and meaningfully engage in SADC processes' and establish clear and effective communication mechanisms between SADC organs and NSA's (SAT 2018)

**Figure 8: Proposed SADC-NSA Engagement Mechanism**



*Source: Report On The Proposed SADC Mechanism for Engagement with Non- State Actors (NSAs) by Southern Africa Trust. May 2018*

It was proposed that the Forum be divided into thematic clusters, groups or pillars of development within the SADC. Members of the Forum would meet on a regular basis and form a nucleus of civil society partners who, as individuals, can provide qualitative input into policy and regional strategy formulation. These members should as much as is possible, be members of existing NSA networks that include members from SADC-CNGO, SATUCC and other such apex bodies, as well as individual NSAs with an interest in the thematic or priority areas of work of SADC (SAT 2018).

## 6.4 At the SADC Implementation Stage

Implementation of SADC protocols, policies and strategies takes place at the national level even in instances where the programmes are of a regional nature. Being of a regional nature simply means that the issue involves more than one nation and that it is more efficient to implement it as a regional programme across the affected countries. Implementation at any level involves the private sector, NSAs and many other actors whose mandate, charters and business plans are to turn concepts into realisable and tangible results on the ground. (see Box 14).

### **Box 14: Implementation of SADC Programme of Action**

Once again, it is at this stage of implementation (Figure 6) of approved SADC programmes and projects that NSA's, together with other organisations, can get involved in the implementation of SADC decisions on regional integration

## 7. Annexes

### Annex 1: SADC Protocols

No.	Name of Instrument	Date Of Signature	Date Of Entry Into Force	Brief outline of objectives
1	Protocol on Immunities and Privileges	17 Aug 1992	30 Sep 1993	This protocol determines that heads of state are afforded the immunities and privileges in each member state which are adequate to carry their duties in a proper and full manner.
2	Protocol on Shared Watercourse Systems	28 Aug 1995	28 Sep 1998	Article 2: to foster close co-operation for judicious, sustainable and co-ordinated management, protection and utilisation of shared watercourses and advance the SADC agenda of regional and poverty alleviation.
3	Protocol on Energy	24 Aug 1996	17 Apr 1998	Article 3: to harmonise national and regional energy policies, strategies and programmes on matters of common interest based on equity, balance and mutual benefit.
4	Protocol on Transport, Communication and Meteorology	24 Aug 1996	6 July 1998	Article 5: Member States should facilitate the unimpeded flow of goods and passengers across their respective territories whilst promoting the development of competitive commercial road transport industry.
5	Protocol on Combating Illicit Drugs	24 Aug 1996	20 Mar 1999	Article 2: to reduce and eventually eliminate drug trafficking, money laundering, corruption and the illicit use and abuse of drugs through cooperation among enforcement agencies and demand reduction through coordinated programmes in the Region.
6	Protocol on Trade	24 Aug 1996	25 Jan 2001	Article 2: to further liberalise intra-regional trade in goods and services on the basis of fair, mutually equitable and beneficial trade arrangements, complemented by Protocols in other areas.
7	Protocol on Combatting Illicit Drug trafficking	24 Aug 1996	--	Article 2: to eliminate the production of illicit drugs and to protect the region from being used as a conduit for drugs destined for international markets.
8	Protocol on Environment	1997		
9	Protocol on Education and Training	8 Sep 1997	31 July 2000	Article 3: to develop and implement a common system of regular collection and reporting for information by Member States about the current status and future demand and supply, and the priority areas for provision of education and training in the Region.
10	Protocol on Mining	8 Sep 1997	10 Feb 2000	This protocol places emphasis on harmonising national and regional policies, strategies and programmes to procure a thriving mining sector, which in turn should contribute to the growth of a member state's economy.
11	Protocol on the Development of Tourism	14 Sep 1998	26 Nov 2002	Article 2: to use tourism as a vehicle to achieve sustainable social and economic development through the full realisation of its potential for the Region.
12	Protocol on Health	18 Aug 1999	18 Aug 2004	Article 3: to identify, promote and co-ordinate and support those activities that have the potential to improve the health of the population within the Region.

No.	Name of Instrument	Date Of Signature	Date Of Entry Into Force	Brief outline of objectives
				To develop common strategies to address the health needs of women, children and other vulnerable groups.
13	Protocol on Wildlife Conservation and Law Enforcement MOU on Cooperation in Standardisation, Quality	18 Aug 1999	30 Nov 2003	Article 4: to establish within the Region and within the framework of the respective national laws of each State Party, common approaches to the conservation and sustainable use of wildlife resources and to assist with effective enforcement of laws governing those resources.
14	Protocol on Legal Affairs	7 Aug 2000	1 Sep 2006	Article 2: to provide legal assistance to SADC and all its Institutions and Member States in matters relating to the interpretation of the Treaty Protocols and subsidiary legal instruments made thereunder.
15	Revised Protocol on Shared Watercourses	7 Aug 2000	22 Sep 2003	Article 2: The overall objective of this Protocol is to foster closer cooperation for judicious, sustainable and co-ordinated management, protection and utilisation of shared watercourses and advance the SADC agenda of regional integration and poverty alleviation
16	Protocol on Tribunal and Rules thereof	7 Aug 2000	14 August 2011	This Protocol outlines the rules on tribunal hearings and their corresponding rulings, granting the signed on member states to have jurisdiction in this hearings.
17	Protocol on Politics, Defence and Security Cooperation	14 Aug 2001	2 Mar 2004	Article 2: to promote peace and security in the Region.
18	Protocol on the Control of Firearms, Ammunition and Other Related Materials in SADC	14 Aug 2001	8 Nov 2004	Article 3: to prevent, combat and eradicate the illicit manufacturing of firearms, ammunition and, other related materials, and their excessive and destabilising accumulation, trafficking and use in the Region.
19	Protocol on Fisheries	14 Aug 2001	8 Aug 2003	Article 3: to promote responsible and sustainable use of the living aquatic resources and aquatic ecosystems of interest to the State Parties.
20	Protocol on Culture, Information and Sport	14 Aug 2001	7 January 2006	Article 17: Member states should cooperate and collaborate in the promotion, establishment and growth of community, commercial, public, regional and global media for free flow of information.
21	Protocol Against Corruption	14 Aug 2001	6 Aug 2003	Article 2: to promote and strengthen the development, by each of the State Parties, of mechanisms needed to prevent, detect, punish and eradicate corruption in the public and private sector.
22	Protocol on Culture, Information and Sport	14 Aug 2001	7 January 2006	Article 11: to, and not restricted, promote an attitude which takes culture into account in regional development programmes. This should by ensuring culture plays a significant role in economic development of the Region.
23	Protocol on Politics, Defence and Security Cooperation	14 Aug 2001	--	Article 2: the general objective is to promote peace and security of the region.
24	Protocol on Extradition	3 Oct 2002	1 Sept 2009	Article 2: Each State Party agrees to extradite to the other, in accordance with the provisions of this Protocol and their respective domestic law, any person within its jurisdiction who is wanted for

No.	Name of Instrument	Date Of Signature	Date Of Entry Into Force	Brief outline of objectives
				prosecution or the imposition or enforcement of a sentence in the Requesting State for an extraditable offence
25	Protocol on Forestry	3 Oct 2002	17 July 2009	Article 3: to promote the development, conservation, sustainable management and utilisation of all types of forests and trees.
26	Protocol on Mutual Legal Assistance in Criminal Matters	3 Oct 2002	1 Mar 2007	Article 2: state parties should provide each other with the widest possible measure of mutual legal assistance in criminal matters.
27	Protocol on Finance and Investments	18 Aug 2006	16 Apr 2010	Article 2: foster harmonisation of the financial and investment policies of the State Parties in order to make them consistent with objectives of SADC and ensure that any changes to financial and investment policies in one State Party do not necessitate undesirable adjustments in other State Parties.
28	Protocol on Science, Technology and Innovation	17 Aug 2008	--	Article 2: to foster co-operation and promote, the development, transfer and mastery of science, technology and innovation in Member States.
29	Protocol on Trade and Services	18 Aug 2012	--	The Protocol on Trade in Services (PTIS) has six primary objectives asset out in article 2, which can be interpreted into one main objective namely, to level the playing field among SADC members by ensuring that industries and consumers take full advantage of a single regional services market. The Protocol focuses on progressively liberalisation of intra-regional trade in services on the legal basis of achieving the elimination of substantially all discrimination between State Parties and a liberal trading framework for trade in services with a view to creating a single market for trade in services.
30	Protocol on Employment and Labour	18 Aug 2014	--	Article 3: to provide Member States with strategic direction and guidelines for the harmonization of employment and labour, as well as social security, policies and legislation.
31	Revised Protocol on Gender and Development	31 Aug 2016	--	The Revised SADC Protocol on Gender and Development provides for the empowerment of women, elimination of discrimination and the promotion of gender equality and equity through gender-responsive legislation, policies, programmes and projects.
32	Protocol on Industry	Aug 2019	-	To promote the development of diversified, innovative and globally competitive regional and national industrial bases to enable the SADC region to achieve sustainable and inclusive industrial development

**Source: Compiled by Martin T. Muchero from SADC Website, February 2020**

## Annex 2: SADC Common Agenda

(As articulated under Article 5 of the Consolidated Text of the Treaty of Southern African Development Community, as Amended)

The 1992 Declaration and Treaty Towards the Southern African Community, created SADC as a community with the goal of a shared future of deeper economic cooperation and integration on the basis of balance, equity and mutual benefit, providing for cross-border investment and trade, and freer movement of factors of production, goods and services across national borders; common economic, political, social values and systems; enhanced enterprise and competitiveness; democracy and good governance; respect for the rule of law and the guarantee of human rights; popular participation and alleviation of poverty; and strengthened regional solidarity, peace and security, in order for the people of the region to live and work together in peace and harmony. To achieve this shared future, SADC Member States agreed to implement the following six strategies:

**Human Resources, Science and Technology:** on the background that the most binding constraint to development of the region was inadequate professionally and technically qualified and experienced personnel to plan and manage the development process efficiently and effectively, the development of human resources, and effective national and regional policies on science and technology were given high priority;

**Food Security, Natural Resources and Environment:** land, agriculture and food security were considered synonymous with life and livelihoods of the peoples of the Region requiring therefore the effective, sustainable and efficient exploitation and utilisation of natural resources especially land, water and minerals of the region in contribution to human welfare and development;

**Infrastructure and Services:** in order to enhance services to the people of the region, to support industrial development and growth, and promote intra-regional trade, the rehabilitation and upgrading of transport, communications and energy infrastructure were considered priority;

**Finance, Investment and Trade:** the creation of an environment conducive to increased investment, particularly in the material productive sectors of the regional economy was considered central to the strategy of regional integration;

**Popular Participation:** unless the peoples of the region determined its content, regional integration would remain a pipe dream hence the importance put on the development of measures and appropriate mechanisms and institutional frameworks to involve the people of the region in the process of regional integration; and

**Solidarity, Peace and Security:** good and strengthened political relations among the countries of the region, and peace and mutual security were considered critical components of the total environment for regional cooperation and integration.

Under Article 5 of the Treaty, as Amended in 2001, the objectives of SADC shall be to:

- Promote sustainable and equitable economic growth and socio-economic development that will ensure poverty alleviation with the ultimate objective of its eradication, enhance the standard and quality of life of the people of Southern Africa and support the socially disadvantaged through regional integration;
- Promote common political values, systems and other shared values which are transmitted through institutions which are democratic, legitimate and effective;
- Consolidate, defend and maintain democracy, peace, security and stability;
- Promote self-sustaining development on the basis of collective self-reliance, and the interdependence of Member States;
- Achieve complementarity between national and regional strategies and programmes;

- Promote and maximise productive employment and utilisation of resources of the Region;
- Achieve sustainable utilisation of natural resources and effective protection of the environment;
- Strengthen and consolidate the long standing historical, social and cultural affinities and links among the people of the Region;
- Combat HIV/AIDS or other deadly and communicable diseases;
- Ensure that poverty eradication is addressed in all SADC activities and programmes; and
- Mainstream gender in the process of community building.

In order to achieve the objectives set out in paragraph 1 of this Article, SADC shall:

- Harmonise political and socio-economic policies and plans of Member States;
- Encourage the people of the Region and their institutions to take initiatives to develop economic, social and cultural ties across the Region, and to participate fully in the implementation of the programmes and projects of SADC;
- Create appropriate institutions and mechanisms for the mobilisation of requisite resources for the implementation of programmes and operations of SADC and its institutions;
- Develop policies aimed at the progressive elimination of obstacles to the free movement of capital and labour, goods and services, and of the people of the Region generally, among Member States;
- Promote the development of human resources;
- Promote the development, transfer and mastery of technology;
- Improve economic management and performance through regional co-operation;
- Promote the coordination and harmonisation of the international relations of Member States;
- Secure international understanding, co-operation and support, and mobilise the inflow of public and private resources into the Region; and
- Develop such other activities as Member States may decide in furtherance of the objectives of this Treaty.

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