Guiding Principles for Monitoring and Evaluation Frameworks in Regional Economic Communities

(Final Draft)
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<th>Acronym</th>
<th>Description</th>
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<tbody>
<tr>
<td>AEC</td>
<td>African Economic Community</td>
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<tr>
<td>AfDB</td>
<td>African Development Bank</td>
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<td>AMERT</td>
<td>Africa Monitoring Evaluation and Reporting Tool</td>
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<td>APRM</td>
<td>African Peer Review Mechanism</td>
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<td>AUC</td>
<td>African Union Commission</td>
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<td>AU</td>
<td>African Union</td>
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<tr>
<td>CAADP</td>
<td>Comprehensive Africa Agriculture Development Programme</td>
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<td>COMESA</td>
<td>Common Market for Eastern and Southern Africa</td>
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<td>EAC</td>
<td>East African Community</td>
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<tr>
<td>ECCAS</td>
<td>Economic Community of Central African States</td>
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<tr>
<td>EBID</td>
<td>ECOWAS Bank for Investment and Development</td>
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<td>ECOWAS</td>
<td>Economic Community of West African States</td>
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<td>FTAs</td>
<td>Free Trade Areas</td>
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<tr>
<td>GDP</td>
<td>Gross Domestic Product</td>
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<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<td>MDGs</td>
<td>Millennium Development Goals (MDGs)</td>
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<td>MoU</td>
<td>Memorandum of Understanding</td>
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<td>NEPAD</td>
<td>New Partnership for African Development</td>
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<td>NPCA</td>
<td>NEPAD Planning and Coordinating Agency</td>
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<td>OAU</td>
<td>Organization of African Unity</td>
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<td>RECs</td>
<td>Regional Economic Communities</td>
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<td>RISDP</td>
<td>Regional Indicative Strategic Development Plan</td>
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<td>SADC</td>
<td>Southern African Development Community</td>
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<td>SADCC</td>
<td>Southern African Development Coordination Conference</td>
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<tr>
<td>SIPO</td>
<td>Strategic Indicative Plan for the Organ on Politics, Defence and Security Cooperation</td>
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<tr>
<td>SPME</td>
<td>Strategy Development, Planning, Monitoring and Evaluation</td>
</tr>
<tr>
<td>TORs</td>
<td>Terms of Reference</td>
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1. Introduction

A regional workshop for practitioners on Monitoring and Evaluation (M&E) practices was held on 3-4 September 2012 in Gaborone, Botswana. The workshop offered a platform for practitioners of three Regional Economic Communities (EAC, ECOWAS and SADC) to exchange knowledge and best practices in M&E system development and automation. The necessity for RECs to agree on guiding principles in the design and implementation of their (M&E) systems was recognised by participants. A follow up workshop was organised from November 11-13, 2013 in Abuja where the terms of reference to carry out a study on guiding principles for M&E Framework in RECs was reviewed and approval given.

The rationale of this study stems from the fact that RECs have been arranged as regional groupings to facilitate the achievement of the strategic goals of the African Economic Community (AEC)\(^1\), and that the M&E frameworks of the RECs constitute preferred avenues to align their respective goals with those of the African Union (AU). The study seeks to highlight fundamental overarching principles, which should guide the RECs and serve as a reference document.

1.1 Scope and Terms

The aims and objectives of the study is to propose overarching guidelines that will serve as a reference for M&E frameworks and systems for RECs in line with the AU/AECs strategic goals.

Specific objectives include:

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\(^1\) The AEC has currently been absorbed into the AU. The transition is explained in section 3.
• To document the AU/AEC’s strategic goals and possible performance measurement framework;
• To document the strategic frameworks of RECs, and their existing or planned M&E systems;
• To analyse the issue of convergence of RECs towards AU/AEC goals;
• To propose practical guiding principles to be respected by RECs through their respective M&E frameworks and systems to ensure convergence towards AU/AEC goals.

1.2 Methodology
The consultants used two sets of information to guide the study process. The first, based on the consultants’ own expertise; the second based on preliminary desk research to highlight some of the findings established from existing frameworks, input from participants during the workshop organized in Abuja in November 2013, and follow up discussions and meetings with the AU Commission as well as the RECs in order to breach identified information gaps and further input from the stakeholders.

Consultants’ approach for the development of guiding principles for M&E:

• Ensure that information flows two ways throughout the process.
• Make the most of existing best practices.
• Use spaces in between best practices to allow for ingenuity.
• Simplicity but not over-simplification to ensure flexibility and adaptability.

Inform consultants and participants of the AEC/AU strategic goals
The workshop organizers will summarize the main goals and objectives of AU documents and related institutional documentation (including Millennium Development Goals, REC documents, etc.). This will necessarily be a very broad summary and serve to frame further discussions of goals by sector. This will serve to establish a preliminary
framework for the study and will help inform the consultants on the general outline for the study.

*Inform consultants and participants of REC’s work in this area with a focus on best practices and scalable practices using forms, remote summary, and feedback on a draft report after the workshop*

Throughout the process, the organizers will engage RECs in discussion of their own M&E guidelines, practices, and ideas by sector. Discussion will focus on common themes in indicators, common challenges, specific successes and scalability, connecting ideas to form novel indicators.

*Prepare an annotated results framework and narrative guidelines that incorporate existing regional goals, RECs best practices and results of the workshop*

- The framework will be general, with overarching sector indicators filled in, specific target types for regional groups, and guidelines for data sources, data collection, data processing, and getting support.
- Best practices, indicators, and existing partnerships will be integrated into the framework.
- The document should be dynamic and modifications, particularly at the lower, detailed levels should be evidence of its use in RECs M&E systems.
- The report will include justification for particular indicators and/or data sources within it, including:
  - A discussion of the existing AU results framework and other best practices and case studies brought up during the workshop and follow up discussions;
  - Personnel, technical, and/or online resources for specific tasks.
- The format of the report will be based on existing AU common documents to complement processes already in place, whenever possible.

*Get feedback from AU/REC representatives and other stakeholders*

- This will take place remotely after the workshop.
• If possible within the timeframe, RECs may consult key stakeholders from their respective regions in order to cross-check assumptions about indicators.
• The framework and guidelines will be amended based on specific input from REC representatives and other stakeholders whenever possible.

1.3 Key Assumptions

There are a number of assumptions that underpin the development of the overarching guiding principles.

First, is that the RECs (ECOWAS/EAC/SADC) agree on the necessity to find a common overarching approach towards converging to AU/AECs strategic goals in the design and implementation of their M&E systems.

Second, the proposed guiding principles are based on what the consultants conclude are the current status quo based on findings in consultation with the various stakeholders. Existing strategic documents, M&E frameworks, and current experience of the RECs with the AU as elaborated in the questionnaire. This will inform the narrative part of the report concerning the RECs.

Third, the relationship between the RECs and the AU Commission is a complex one. Each REC operates its own Strategic Plan and (Sectorial) M&E System. As such, despite best efforts, it would be too early to develop a harmonized document at this stage. However, the overarching guiding principles proposed will serve as a working document towards future coordination of efforts and eventual convergence.

1.4 Structure

The report is presented in two parts. The first part is a narrative report which outlines the findings and recommendations based on the consultants’ study of the existing institutional frameworks of the African Union (AU) and the Regional Economic Communities (RECs), review of background documents provided and consulted, and
consultation with stakeholders from the RECs and the AU Commission. This narrative is important for a clearer understanding of the various structures and the relationship between the RECs and the AU.

The second part of the document serves as proposed overarching guiding principles to be followed by RECs in the design of their M&E frameworks and systems to ensure convergence towards the strategic goals of the African Union. It concludes by giving recommendations on processes to follow and existing structures/systems that can be built on towards eventual harmonisation.
2. PART I - Findings

The findings presented here are based on a number of reference documents as well as consultation with various stakeholders in the relevant RECs and the AU Commission.

2.1 Regional Economic Communities Background and Strategic Goals

The roles of Regional Economic Communities (RECs) as building blocks of the African Economic Community (AEC) and their relationship with the African Union (AU) are outlined within a number of policy documents and formal agreements. These include: The Abuja Treaty (1991); The AU-REC Protocol (1998) and; The AU Constitutive Act (2000). Additionally, and most recently Agenda 2063 with the objective to develop Africa’s growth trajectory for the next 50 years benefitting from lessons learnt over the last 50 years.

The Regional Economic Communities officially recognised by the AU include: AMU/UMA, CEN-SAD, COMESA, EAC, CEEAC-ECCAS, CEDEAO-ECOWAS, IGAD and SADC; and have been designated one of the five regional pillars of the African Economic Community (AEC). Only three (ECOWAS, EAC, SADC) will be focused on within the scope of this study.

2.1.1 Economic Community of West African States (ECOWAS)

ECOWAS was set up in 1975 when 15 West African countries signed the treaty for an Economic Community of West African States (Treaty of Lagos) on 28 May 1975. The protocols launching ECOWAS were signed in Lomé, Togo on 5 November 1976 with the objective of promoting regional economic integration in West African states. Its institutions include: the ECOWAS Commission, the ECOWAS Parliament, the Community

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2 Agenda 2063 background note
Court of Justice, and the ECOWAS Bank for Investment and Development (EBID) as well as a number of specialised agencies.

**Policy and Strategic Planning**

The ECOWAS Regional Strategic Plan (2011-2015) was adopted in 2010 with a view of defining a strategy that should govern and guide the future of the integration process of the sub-region and in achieving its overall objectives of economic and monetary integration and political stability and promotion of regional peace. It involves all ECOWAS institutions as well as other regional integration actors, and provides a framework towards aligning programmes both on the strategic and operational levels.

The Regional Strategic Plan has six priorities, namely: 1) Promote Good Governance, Justice, and Upgrade the Conflict Prevention, Management and Resolution Mechanism, 2) Promote Infrastructural Development and a Competitive Business Environment, 3) Promote Sustained Development and Cooperation in the Region, 4) Deepen Socio-Economic and Monetary Integration, 5) Reinforce Institutional Capacity, and 6) Strengthen the Mechanism for Integration into the Global Market.

In June 2007, member States adopted the ECOWAS Vision 2020\(^3\) of an “ECOWAS of people’. The vision statement is “To create a borderless, peaceful, prosperous and cohesive region, built on good governance and where people have the capacity to access and harness its enormous resources through the creation of opportunities for sustainable development and environmental preservation.” ECOWAS has developed, ratified and implemented a number of strategic and legal instruments ranging from economic integration to peace and security and other areas of mutual concern to member states that support this vision. The main stakeholders of ECOWAS include

\(^3\) ECOWAS-VISION-2020
Member States (through mainly the national structures participating in regional integration), as well as ECOWAS Institutions and Specialised Agencies.

**Institutional Framework for M&E**

In order to streamline strategic planning and M&E functions, two Committees have been established under the chairmanship of the Vice President of the ECOWAS Commission. These are: the “Strategic Planning Coordination Committee” (working toward designing the regional strategic frameworks and aligning all institutional plans to these frameworks), and the “Forum of Stakeholders on ECOWAS M&E System” (providing strategic orientation for, and guiding the implementation of the regional M&E system).

The development of the M&E system is geared toward the institutionalisation of a consolidated performance report, and its communication to the ECOWAS Citizen (in line with the ECOWAS Vision 2020 of an “ECOWAS of Peoples”). The system is intended to cover all programmes, projects and activities implemented by Member States, institutions and development partners as a framework for measuring performance.

ECOWAS does not currently have an operational online Monitoring and Evaluation system.

**Current Status of Convergence Towards AU Goals and Best Practice**

Referring to African political integration, the ECOWAS Regional Strategic Plan states that “the Vision assumes the deepening of the democratisation process in West Africa ... and setting appropriate standards within the framework and plans of NEPAD and other

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4 ECOWAS M&E Manual
5 Extracted from questionnaire distributed to RECs
principal African Union’s initiatives” (p. 23); and that “ECOWAS continues to serve as the platform for the New Partnership for Africa’s Development vision and strategic framework for Africa’s renewal”. The Plan also state that “In the four cardinal priorities of peace and security; democracy and good political, economic and corporate governance; regional cooperation and integration; and capacity building will continue to be at the front burner of the Institution’s work in the coming years” (p.25). In terms of global outlook, the Community “also enjoys bilateral relationships with other countries and relies on the goodwill and participation of multilateral institutions, regional groupings and other development partners in ensuring that its plans and programmes have depth in terms of coverage, content and financing. Visibility incorporates all relevant perspectives of economic integration, such as policy and structural convergence, trade, financial sector, social and physical infrastructure, agriculture, etc.” (p. 43). In the stakeholders’ analysis, the AU is recognized as key strategic and development partner (p.91).

In the ECOWAS Commission Strategic Plan, the external analysis of political, economic and social environment focused mainly on the 3 RECs of EAC, ECCAS and SADC as reference (p. 9) in the following areas: security and good governance, business environment, infrastructure development, macroeconomic growth, trade, social and human development.

AU/NEPAD Programmes are systematically referred to in the preparation and implementation of the strategic plan: Continental initiatives in Peace and Security (such as Security Council and Standby Force, Early Warning), Governance (APRM), Agriculture (CAADP), Infrastructure (Roads, Railways, Air, Maritime, and Telecommunications), etc.

Sufficient reference is made to the AU goals in the formulation of the regional plans. The M&E framework would need to be more inquisitive in formulating its performance
reporting mechanism to ensure that the convergence towards AU Goals is adequately checked. This would inform future planning process in that regard.

Theoretically, the goals are taken into account in the M&E process, through the implementation plan and programmes of our strategic goals and outcomes. In practice, however, the arrangement and dashboard do not question systematically the convergence towards AU goals. In other words there is no reporting line on how much ECOWAS converges towards AU Goals.

*Best Practices include:*

a) ECOWAS Standby Force and ECOWAS Early Warning System (as contribution to AU peace and security arrangement); APRM; Infrastructure (as NEPAD Programme); ECOWAP (through its components relating to CADDP); etc.

b) In developing the performance measurement frameworks (indicators) of the ECOWAS Commission for these programmes, systematic reference is often made by line directorates to their continental outcomes and indicators.

### 2.1.2 The East African Community (EAC)\(^6\)

The East African Community (EAC) is a regional inter-governmental organization established under Article 2 of the Treaty for the Establishment of the East African Community that entered into force in July 2000. Membership of the Community comprises the Republics of Burundi, Kenya, Rwanda, Uganda and the United Republic of Tanzania. According to the Treaty,

> “Pursuant to the provisions of paragraph 1 of Article 5, the Partner States undertake to establish among themselves, a Customs Union, a Common Market, subsequently a Monetary Union and ultimately a Political Federation in order to strengthen and regulate the industrial, commercial, infrastructural, cultural,

\(^6\) [www.eac.int](http://www.eac.int)
social and political relations. This is meant to enhance accelerated harmonious, balanced development and sustained expansion of economic activities."

Policy and Strategic Planning

The Community operationalises the Treaty through medium-term development strategies. The 1st Development Strategy covered the period 1997-2000 and focused on the re-launching of EAC, a period usually referred to as the confidence building phase. The 2nd Development Strategy covered the period 2001-2005 and mainly focused on the establishment of the EAC Customs Union and laying the groundwork for the Common Market. The 3rd Development Strategy (2006 – 2010) prioritized the establishment of the EAC Common Market and while the 4th Development Strategy covering the period July 2011 to June 2016 mainly focuses on the implementation of the EAC Common Market and the establishment of the EAC Monetary Union.

In all these Strategies, cross-cutting projects and programmes in sectors such as legal and judicial, infrastructure, energy, social development, and institutional development were also carried out. The 4th Development Strategy (2011-2016) takes into account consolidating the benefits of a fully-fledged Customs Union, full implementation of the Common Market and laying the foundation for the attainment of Monetary Union and Political Federation and continuing implementation of other priority projects and programmes.

In accordance with Article 9 of the EAC Treaty, the institutional framework of the Community consists of the executive, the legislative and the judicial arms. The executive arm is composed of the Summit of the Heads of State (playing the broad vision setting role), and the Council as the policy-making organ, the Secretariat which is the executive organ of the Community and EAC Institutions. The legislative and judicial arms are made up of the East African Legislative Assembly and the East African Court of Justice.

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7 EAC Development Strategy (2011/12 – 2015/16)
respectively. The functions, mandates, and operational frameworks of these organs and Institutions is set out in the Treaty, Protocols, and Rules of Procedures.

**Institutional Framework for M&E**

The Treaty recognises that monitoring and evaluating EAC projects and programmes is a shared responsibility at different levels and by different stakeholders:

1. Article 71 (I c & g) empowers the Secretariat to undertake strategic planning & management, monitoring and evaluation of projects and programmes for the development of the Community and regularly submit reports on activities of the Community to Council through the Coordination Committee.
2. Article 14 (2) empowers the Council to “promote, monitor and keep constant review of the implementation of the programmes of the Community and ensure its proper functioning.”
3. Article 21 (b) empowers the Sectoral Councils to “monitor and keep under constant review the implementation of programmes of the Community within their respective sectors.”
4. Article 18 empowers the Coordination Committee to “submit from time to time reports and recommendations to the council on the implementation of the Treaty.”
5. Article 49 (2c) gives the East African Legislative Assembly powers to consider Annual Reports of the activities of the Community, annual audit reports and any other reports referred to it by the Council.

**Current Status of Convergence Towards AU Goals and Best Practice**

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*Extracted from questionnaire distributed to RECs*
According to the EAC, AU strategic goals were not explicitly taken into consideration while developing the Strategic Plan or M&E frameworks. The current Strategic plans are developed according to the Goals and Pillars of the East Africa Community.

In 2005 however, a Tripartite Task Force, headed by the Secretary Generals of COMESA and the EAC, and the Executive Secretary of SADC, was set up with the objective of exploring possibilities of harmonising the RECs programmes in the areas of trade and infrastructure development. The overarching objective of the Tripartite is to contribute to the broader objectives of the African Union (AU), namely accelerating economic integration of the continent and achieving sustainable economic development. It works towards improving coordination and harmonisation of the various regional integration programmes of the REC’s including: expanding and integrating trade through the establishment of Free Trade Areas (FTA’s), Custom Unions, Monetary Unions and Common Markets, as well as infrastructure development projects in transport, information and communications technology and energy towards achieving a single market and continental integration of the African Economic Community (AEC)\textsuperscript{9}.

2.1.3 The Southern African Development Community (SADC)\textsuperscript{10}

The Southern African Development Community (SADC), originally known as the Southern African Development Coordination Conference (SADCC) was established by the Lusaka Declaration of 1980. Its principal goal was of economic liberation based on sustainable integrated development of the participating economies, as well as reducing economic dependence on the Apartheid South Africa, which had not yet attained majority rule. It was transformed into a Development Community (SADC) in 1992 through the SADC Treaty of 1992.

\textit{Policy and Strategic Planning}

\textsuperscript{9} \url{www.eac.int/COMESA-EAC-SADC_Tripartite}
\textsuperscript{10} \url{http://www.sadc.int}
The SADC Treaty (Article 14) defines the SADC Secretariat as the principal executive institution of SADC whose core functions are to provide leadership in fulfilling the core functions of “strategic planning and management of programmes of SADC, monitoring and evaluation of implementation of regional policies and programmes”, amongst others. The framework within which these functions are exercised is underpinned by policy and procedural provisions incorporated in: the SADC Treaty; the Regional Strategic Development Plan (RISDP) and the Strategic Indicative Plan for the Organ (SIPO). The RISDP is a longterm strategic document provides strategic objectives, priorities and targets to be achieved by the Region in 2020.

**Institutional Framework for M&E**

The final chapter of the SADC Regional Indicative Strategic Development Plan (RISDP) outlines the framework for monitoring and evaluation of the Regional Indicative Strategic Development Plan.

The objectives of the Monitoring and Evaluation Mechanism are to:

- Ensure that the correct milestones are being achieved as planned.
- Act as an early warning system in cases where targets are not likely to be achieved.
- Provide regular information to all stakeholders on progress of the Regional Indicative Strategic Development Plan and an informed basis for any reviews.
- Ensure the continuous sharpening and focusing of strategies and assist in the mobilisation of appropriate interventions.

The monitoring and evaluation activities related to the Regional Indicative Strategic Development Plan will be based on: manageable processes; measurable and verifiable indicators; and conform to basic rules of simplicity, timeliness and cost effectiveness.

The Regional Indicative Strategic Development Plan is monitored regularly at three levels:
• Political and policy level;
• Operational and technical level; and
• Stakeholder level.

Current Status of Convergence Towards AU Goals and Best Practice

According to its RISDP and SIPO, in setting out the region’s agenda and targets, SADC fully took into consideration the Millennium Development Goals (MDGs) adopted by the United Nations General Assembly, the Constitutive Act of the African Union, the Treaty establishing the African Economic Community, the New Partnership for Africa’s Development (NEPAD) as well as other initiatives on international development cooperation.

2.2 The African Union Background and Strategic Goals

The OAU was established on 25 May 1963 with the strategic objectives of: promoting the unity and solidarity of African States; coordinating and intensifying their co-operation and efforts to achieve a better life for the peoples of Africa; defending their sovereignty, territorial integrity and independence; eradicating all forms of colonialism from Africa; promoting international co-operation, giving due regard to the Charter of the United Nations and the Universal Declaration of Human Rights; and coordinating and harmonising members’ political, diplomatic, economic, educational, cultural, health, welfare, scientific, technical and defence policies (OAU Charter, 1963).

Heads of States and Government also committed themselves to promote the economic and social development and integration of their economies and, to that end, to establish national, regional and sub-regional institutions leading to a dynamic and interdependent African economy, thus paving the way for the eventual establishment of the African Economic Community. In 1980, at an OAU Extraordinary Summit, they adopted the

11 Extracted from questionnaire distributed to RECs
Lagos Plan of Action of which the commitments were translated into concrete form, in Abuja, Nigeria, in June 1991 when they signed the Treaty establishing the African Economic Community.

The Abuja Treaty confirmed RECs to be the pillars of the Community, and planned their strengthening during the first implementation phase of the AEC for their subsequent absorption into the Community. The relationship between the Community and RECs was therefore formally improved, and the Community would have been a milestone that would have brought RECs on board the OAU system firmly. However, the process developed inconsistently with many challenges. Ultimately, the AEC could not be realized as planned, and RECs were never consolidated therein leaving the relationship between both the AEC and RECs and among the RECs loosely organized.\(^\text{12}\)

The AU formally succeeded the OAU/AEC in 2002. It currently supports political and economic integration among its 54 member nations\(^\text{13}\).

**Policy and Institutional Framework**

Since May 1994, the OAU has operated on the basis of the OAU Charter as well as the AEC Treaty, and the organization was officially referred to as the OAU/AEC. After signature of the Abuja AEC Treaty, the Assembly of Heads of State and Government directed the Committee on the Review of the Charter (established in 1979) to meet and review the OAU Charter with a view to bringing it in line with the Abuja AEC Treaty. On 25 February 1998, the Protocol on Relations between the AEC and Regional Economic Communities was adopted. The Sirté Declaration (1999) called for the establishment of an African Union in conformity with the ultimate objectives of the OAU Charter and the provisions of the Abuja AEC Treaty. The Protocol on Transport, Communications and Tourism within the AEC was adopted in July 1999; this is annexed to and forms an

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\(^{12}\) Khamis 2008

\(^{13}\) All African states are members except Morocco which withdrew in in 1985, after admission of Western Sahara.

Following the confusion that had emanated from the concurrent existence of the OAU and the AEC and the agreement reached in Sirte in September 1999, the AU was to be a merger of the OAU and the AEC, hence the OAU Charter and the Abuja Treaty, into one single institution (the AU) under one single legal document (the Constitutive Act) into which RECs would be consolidated under one hierarchy and a single overall continental framework. This is in accordance with the three main instruments that established the AU, namely, the Sirte Declaration, the Constitutive Act of the African Union and the Decision on the African Union [EAHG/DECL.1 (V)] that formally put in place the AU.

Consequently, the final objective and plan was to establish the AU, as a new institution integrating both the OAU and the AEC leading, ultimately, to the United States of Africa, as clarified by the fifth ordinary session of the Executive Council and confirmed by the Assembly of Heads of State and Government in July 2005. The AU was to ensure the realization of the OAU and AEC’s objectives, at both regional and continental levels under its auspices and in an accelerated way.\(^\text{14}\).

**2.2.1 Framework for Cooperation between AU and RECS**

As earlier indicated, the role of the RECs as building blocks of the African Economic Community (AEC) and their formal relationship with the AU are governed by a series of formal agreements; more specifically: articles 33 and 34 of the AU Constitutive Act, the AU-REC Protocol of 1998, Article 16 (9) of the AU PSC Protocol Relating to the Establishment of the Peace and Security Council, and the subsequent MoUs between the AU and individual RECs (OSAA, 2010).

\[^{14}\text{Interview Khamis (2014)}\]
In accordance with Article 88 of the Abuja Treaty, the African Economic Community must be established mainly through the coordination, progressive integration, and harmonisation of the activities of the RECs. To this end, member states are expected to promote the coordination and harmonisation of the integration activities of the RECs of which they are members with the activities of the AEC, it being understood that the establishment of the latter is the final objective towards which the activities of existing and future RECs must be geared.

Article 3 of the Protocol on Relations between the African Union and the Regional Economic Communities states that one of the objectives for harmonization of the work of the AU and the RECS is to encourage the sharing of experiences in all fields among the RECS and ensure harmonization in their cooperation.

2.2.2. Institutional Framework for M&E

The African Union Commission’s Strategic Plan 2014-2017 was adopted in May 2013. It is built on 5 pillars namely: Peace & Security; Social, Economic & Human Development; Integration, Cooperation & Partnerships; Shared Values; Institutions, Capacity Building and Communication. It also includes an outline of the computerised Africa Monitoring Evaluation and Reporting Tool (AMERT); a strategy-specific Macro Results Framework and; annexes on outcomes referred to in the Macro Results Framework.

The Directorate of Strategic Planning, Monitoring, Evaluation and Resource Mobilization, AU Commission, has the mandate to develop and maintain constructive and productive institutional relationship between Africa and the rest of the world as well as to coordinate the mobilisation of extra budgetary resources. In addition, it ensures inter-departmental coordination in strategic planning, for continuous monitoring and evaluation of programme outputs against action plans, as well as to assess the efficiency and effectiveness of programmes in realizing organizational goals and objectives. Its

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15 The African Union Draft Strategic Plan 2014-2017
mandate also includes providing and maintaining research and statistical services that will cater for the needs of the entire Commission, other Organs of the Union, RECs as well as Member States. It also initiates strategies for sustainable financing of the Commission’s activities.

The Commission’s proposed monitoring and evaluation framework is centered on five factors,

- Hierarchy levels within the AU;
- M&E responsibility appropriate for each level in the hierarchy;
- M&E cycle for each M&E action/strategies;
- Activities to be undertaken as part of the M&E process and;
- The formats/processes to be used in undertaking the monitoring and evaluation.

The timing of the third Strategic Plan of the Commission coincides with the decision to develop a 50 year African Agenda 2063 in order to provide greater coherence in the actions and initiatives of the African Union, its organs and those of key stakeholders and partners (RECs, NPCA, Member States, civil society and private sector, etc). The Agenda 2063, in addition to creating better synergies and collaboration, is expected to enhance impacts on the ground. Although the two plans are being developed in tandem, it is expected that the AUC Strategic Plan will be adjusted to take account of the strategic directions charted by the Agenda 2063 once it is approved by the AU Policy Organs. The Commission has therefore made efforts to clarify its niche and this is reflected in the programme priorities identified\(^{16}\).

The strategic plan, having been adopted by a relatively broad group of stakeholders after significant deliberation, has the potential to significantly contribute as a basis for M&E in the RECs.

\(^{16}\) Extract from Strategic Plan 2014-2017
2.2.3 Common Goals and Objectives

The African Union’s vision of “An Integrated, prosperous and peaceful Africa, driven by its own citizens and representing a dynamic force in the global arena” is supported by a number of specific objectives covering the whole range of developmental issues, including closer economic and social integration, regional cooperation, human rights, economic growth and sustainable development, peace and political stability. This vision is shared and reflected to a large extent by the RECs in their own visions, strategic goals, and key priority areas. (see table in Annex 1).

Notwithstanding the recognition of the important role that RECs should play in achieving the overall goals of the AU, the achievements are relative depending on the capacity of the organisation both in resources and political commitment.

2.2.4 The AU Agenda 2063

Agenda 2063 is a shared strategic framework for equitable growth and sustainable development, developed in close collaboration between the AU, the African Development Bank (AfDB) and the United Nations Economical Commission for Africa (UNECA). It sets out to: i) establish a credible platform on which Africa can build its future development, taking into account the policy difficulties and pitfalls of the past, including civil strife and poor governance, and propose strategies to overcome them and; ii) inspire African countries to continue emphasizing the themes of solidarity and collaboration that helped the continent emerge from colonial domination.

According to the AU Directorate of the Strategic Policy Planning, Monitoring, Evaluation and Resource Mobilisation (SPPMERM), it is carrying out coordinated efforts to review national, regional and continental plans to analyse the current situation, trends, scenarios, and studies on how Africa can finance its development in order to inform Agenda 2063. Its objective is to ensure that the strategic framework is truly inclusive and prioritises growth and sustainable development that helps to optimize the use of Africa’s resources for the benefit of all Africans.
The development and elaboration of Agenda 2063 will provide a framework for better harmonisation of strategic goals of RECs towards that of the AU. Although it is still a draft, elaboration will include a number of stakeholders including the RECs throughout the continent. It is expected that the AUC Strategic Plan will be adjusted to take account of the strategic directions charted by the Agenda 2063 once it is approved by the AU Policy Organs.

3. PART II - Guiding Principles

This Framework represents a first step in detailing the M&E guiding principles. Underlying all guiding principles is a commitment to simplicity, timeliness and cost effectiveness. This necessarily requires building on existing structures and not replicating costly studies.

3.1 Measurement Framework

The measurement framework appended (see annex 2 and 3) consists of two parts:

The first is an overarching monitoring and evaluation framework directly adapted from the objectives agreed upon in the Abuja treaty, with indicators derived from relevant parts of the African Union strategy as well as specific indicators developed expressly by the consultants as examples for the RECs. The Framework therefore connects work that RECs have already completed to existing institutional arrangements.

Note that although some indicators are derived from the AU strategy, this does not imply that the AU is necessarily tracking the information required. In some cases, the RECs may need to track this information internally, and may track some AU indicators as part of an institutional arrangement, depending on the AU’s existing processes. It will still be far more productive for RECs to track a set of AU-compatible indicators, than to

\[17\] AUC Strategic Plan
develop slightly different ones, because they have already been agreed upon by many member states as well as experts in the relevant fields (e.g. clean energy, tariff law, etc.) and allow for inter-REC comparisons.

The second part of the measurement framework is a logical framework skeleton adapted for RECs\textsuperscript{18}. The logical framework skeleton serves to guide each REC in outlining its integration activities in terms of the Abuja treaty, as well as to provide RECs with starting points for required documentation to other institutions, such as the AU, multilateral institutions, etc.

The purpose of these frameworks is to provide a universal starting point and to reduce laborious cross-referencing works for RECs, not to constrain any REC from adding on to or further detailing its framework. Likewise, language used in the logical frameworks may be re-cast to reflect the language of other institutions or donors with which the RECs choose to work.

\section*{3.2 Proposed Processes}

The consultants have provided an overarching M&E framework and sample logical framework as a starting point for RECs. Although they need not be adopted verbatim, the outline and major points of the frameworks should be used by all RECs, particularly as they are based on documents to which nearly all member states have already agreed.

The Framework ensures that each REC will have ample opportunity to develop its own plan for developing the higher goals set out by the AU. Activities, specific numeric goals, timelines, assumptions and resources required (including the institutions within each REC to be set up or utilized) are the prerogative of each REC based on existing strengths and challenges.

\textsuperscript{18} Based on the GIZ and EU logical framework format and terminology
Two types of indicators have been included in the Framework: technical and non-technical. Technical indicators must be verified by an independent expert, for example experts in trade law and its harmonization, or in carbon emission reduction. These will necessarily be tracked either by the relevant institutions within the AU, or by an expert with a mid-term and end-term evaluator for the REC. Non-technical indicators include those related to changes in the everyday lives of citizens of the RECs. These should be monitored through participatory processes whenever possible, including, but not limited to:

- Opinion polls consisting of at least 50% female participants;
- Focus groups of interested parties (e.g. small business traders who regularly cross borders to transport goods) led by experienced practitioners within the REC’s M&E organ, also with an eye to representative numbers of women in the groups;
- Regarding adoption and implementation of policies, such as in Objective (b), Purpose (e); qualitative surveys of employees within the relevant organs should be carried out, also with an eye to equal representation of women in each department, particularly in statistical harmonization practices.

It must be noted that while the Abuja Treaty implies economic development for all citizens regardless of sex, tracking developments among male and female respondents separately will provide RECs with a more solid basis to ensure this is realized “on the ground” particularly in areas where women have historically been marginalized.

### 3.3 Theoretical / Logical Harmonization

#### 3.3.1 Variable and Unit Harmonization

Where RECs use different activities to reach similar goals, there can still be variable and unit harmonization in indicators. This will allow for similar type comparisons between policies. For example, although one REC may roll out a common trade policy quickly and as a group, while another REC may allow groups of member states within it to begin this process, both RECs can track common trade policies with respect to:
• Total number of independent states involved (vs. number of entities signing the treaty);
• Total population within the trade zone (vs. population on one side of the trade zone);
• Percentage of the population satisfied with the trade agreements established in the common trade policy (vs. total number affected);
• Estimated net benefit to GDP per capita (vs. total GDP for the states affected by the policy).

Some variation may be inevitable, but RECs would do well to convene area experts as they develop the results and activities to achieve common goals, in order to ensure common measurement units even where timelines and expected results vary.

3.3.2 Structural Compatibility using AMERT

The Africa Monitoring, Evaluation & Reporting Tool (AMERT) is a customized M&E tool built for the AU Commission with the objective of integrating an M&E System within the commission to strengthen monitoring, evaluation and reporting of the commission’s progress on the activities within the strategic framework; monitoring and reporting on all AU decisions, declarations, policies and programs that are external to the Commission but that are within their mandate and; design and prepare the program budget of the Commission.

For those RECs that are already working with a developed system, the system possibilities for compatibility to AMERT should be explored to facilitate data imports and exports, particularly as some data can be drawn from the AU and other RECs. This is most important where indicators are the same across RECs and already are tracked by the AU.

Using AMERT will reduce costs for RECs as it can be adapted at a lower cost than building a new database. An existing pool of users will allow for more support options for RECs as they seek to train staff and provide backstopping expertise.
To that end, a great deal of harmonization can be expected as each REC works within the limitations of the existing management information system. The units, variables, and timelines of AMERT can be adapted but individualisation requires time and resources, and those RECs which have not yet established a data collection mechanism for a given indicator will likely build that mechanism around the database.

4. Recommendations

This section summarises additional recommendations towards developing an overall approach towards convergence.

1. Strategic plans (and medium term action plans) of RECs should reflect the goals of AU where possible with an approach towards convergence; and M&E frameworks to consider systematic monitoring of the REC’s goal relating to convergence to AU Goals.

2. The convergence to AU Goals approach should be harmonized throughout all RECs and a continental framework (to be supervised by AUC) set up to regularly discuss and review progress on its implementation, Agenda 2063 provides a good starting point for this.

3. Although the use of AMERT towards the adoption of a single or compatible data entry and processing system is recommended, the RECs should guard against a tyranny of technocracy, in which an indicator is chosen and data collected simply because it is in AMERT. Logical frameworks should be developed first, and then adapted to the use of AMERT where possible, and AMERT adapted to the REC’s logical framework where they are not compatible.

4. Lessons can be learnt from the current information gathering tools of the AU Early Warning system such as the Africa Media Monitor which is an automated data-gathering software that facilitates the collection of information from a large variety of sources in real time in various languages and the CEWS Portal, a software used for
information sharing with the RECs’ early warning mechanisms\textsuperscript{19}. The Africa Media Monitor is currently used by the EAC and other RECs.

5. A number of sectorial M&E frameworks exist. Existence and use should be maximised where possible.

6. Existing Agreements should also be used to build common spaces through Intra-Agency cooperation

7. RECs and the AU should engage regularly to exchange information and build compatibility of their M&E frameworks towards achieving the continents overall goals. The establishment of an MoU as well as a framework for cooperation that allows the establishment of a formal set up based on the current protocol will ensure the eventual inclusion of all the recognised RECs and ensure cooperation

8. Finally RECs and AU should use innovation to fill in gaps/space towards achieving overall common objectives.

\textsuperscript{19} http://www.peaceau.org/en/page/28-continental-early-warning-system-cews
5. References and Documents Consulted

Agenda 2063 Background Note

AU Strategic Plan 2014-2017

EAC Strategic Plan (2011/12 – 2015/16)

ECOWAS Strategic Plan (2011 -2015)

ECOWAS Vision 2020


SADC Regional Indicative Strategic Development Plan

SADC Strategic Indicative Plan of the Organ
6. Annexes

Annex 1: Table of Strategic Goals
Annex 2: M&E Framework
Annex 3: Illustrative Logical Framework for RECs
Annex 4: ToRs
<table>
<thead>
<tr>
<th>Table 1: AU /RECs Common Strategic Goals</th>
</tr>
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<tbody>
<tr>
<td>AU</td>
</tr>
<tr>
<td>----</td>
</tr>
<tr>
<td>Vision</td>
</tr>
<tr>
<td>Strategic Goals /Key Priorities</td>
</tr>
<tr>
<td>1. Promote peace and stability including regional initiatives, good governance, democracy and human right as a foundation for inclusion, security and the development of the continent and its people</td>
</tr>
<tr>
<td>2. Expand Agricultural production, developing the Agro-processing and</td>
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</tbody>
</table>

- **AU**: African Union
- **EAC**: East African Community
- **ECOWAS**: Economic Community of West African States
- **SADC**: Southern African Development Community
<table>
<thead>
<tr>
<th>Businesses sectors, increase market access and attain Africa’s collective Food self-sufficiency and nutrition through promotion of smallholder agriculture, sound environment and natural resource management, including climate change.</th>
<th>Sustainable productive Sectors to support regional and global integration process Priority 1 - Promotion of agricultural productivity and value addition for increased international and cross border trade and sustainable food security. Priority 4 - Sustainable natural resource management, environmental conservation, and mitigation of effects of climate change across the East African region.</th>
<th>Competitive business environment and Investment Capacities</th>
<th>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</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority 4 - Sustainable natural resource management, environmental conservation, and mitigation of effects of climate change across the East African region.</td>
<td>Development Objective 5- To develop Regional Infrastructure to Support the Integration Process Priority 1- Improvement of road connectivity and operations across the Region Priority 2- Development of an efficient railway system. Priority 3- Support the Development of a safe, secure and efficient air transport system in the region Priority 4- Support the Development of efficient, safe and secure maritime transport systems Development Objective 6- To develop and strengthen the Regional competitive and sustainable productive Sectors to support regional and global integration process Priority 2- Support regional industrial development and technological innovation.</td>
<td>Facilitate the development of infrastructure for the attainment of a competitive business environment and Investment Capacities</td>
<td>Infrastructure in support of regional integration.</td>
</tr>
<tr>
<td>3. Promote inclusive economic development and industrialization through the acceleration of infrastructure development projects that will aid economic integration and utilization of the continent’s mineral and other natural resources.</td>
<td>Development Objective- Development of Social Sectors</td>
<td>Promote sustained development and cooperation in the region</td>
<td>Covered under Number 2</td>
</tr>
<tr>
<td>4. Build Africa’s human capacity through the prioritization of Primary Health Care and Prevention;</td>
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<tr>
<td>Priority 1</td>
<td>Priority 2</td>
<td>Priority 3</td>
<td>Priority 4</td>
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<tr>
<td>Education, skills development and investment in science, research and innovation, access to clean water and sanitation with inclusion of the vulnerable groups.</td>
<td>Priority 1- Strengthening regional health institutions and systems to support prevention and control of communicable and non-communicable diseases</td>
<td>Priority 2- Promotion of Education, Science and Technology for a creative and productive human resource;</td>
<td></td>
</tr>
<tr>
<td>5. Mainstream the participation of women and the youth in all priorities and activities of the Union and the continent</td>
<td>Development Objective- Development of Social Sectors</td>
<td>Priority 3- Gender, Community development and Empowerment</td>
<td></td>
</tr>
<tr>
<td>6. Implement strategies of resource mobilization, with special emphasis on alternative source of funding, and/or additional funding to enable Africa to finance its programmes and development.</td>
<td>Development Objective 7- To strengthen the Service Support Sectors</td>
<td>Priority 4-Strengthening capacity for resource mobilization, financial management and reporting</td>
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<td></td>
<td>The EAC has developed a Resource Mobilization Strategy (chapter 6 of EAC Development Strategy)</td>
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<tr>
<td>7. Strengthen a people centered Union through active communication of the programmes of the African Union, the branding of the Union and participation of Member States and other stakeholders in defining and implementing the African agenda.</td>
<td>Development Objective 6- To develop and strengthen the Regional competitive and sustainable productive Sectors to support regional and global integration process</td>
<td>Priority 6- Support to Urban Development and Housing in the East African Region</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Development Objective 7- To strengthen the Service Support Sectors</td>
<td>Priority 6- Enhancing Information,</td>
<td></td>
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<td></td>
<td></td>
<td>Promote reinforcement of institutional capacity</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>This is covered as a an operational objective</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Education and Communication and Popular Participation of the East African citizenry in EAC integration process.</td>
<td></td>
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<td></td>
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<tr>
<td>8.</td>
<td>Strengthen the institutional capacity of the AUC, the RECs and other organs, and its relations with strategic and other partners</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Chapter 4.6 on EAC Organs and Institutions</td>
<td>Promote reinforcement of institutional capacity</td>
<td>Same as 7</td>
</tr>
</tbody>
</table>
### M&E Framework for Regional Economic Communities in the AU

#### From the Abuja Treaty

<table>
<thead>
<tr>
<th>OVERALL OBJECTIVES</th>
<th>PROJECT PURPOSES</th>
<th>OBJECTIVELY VERIFIABLE INDICATORS (OVIS): SUGGESTED OVIS FOR RECS</th>
<th>SOURCES OR MEANS OF VERIFICATION</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>These four areas of overall objectives have been taken from the Abuja treaty, from Article 4, Part 1, &quot;Objectives&quot;. Minor paraphrasing allows the text to fit within the format.</td>
<td>The objectives here have been taken from the Abuja Treaty, Article 4, Part 2, which describes sub-objectives to meet the aims in section 1. Each REC will determine appropriate activities for these common outputs.</td>
<td>What are the specific, measurable, assignable, realistic, and time-bound markers of success for this outcome in particular? Note: Activity indicators will be much more specific. In order to maximize accountability and efficiency, indicators were suggested from the AU Strategic Plan and Abuja Treaty language when possible. Citations follow each indicator when appropriate. Some indicators were developed by the consultants and are subject to modification by each REC as appropriate.</td>
<td>How will each REC get information for each indicator? This section is mindful of principles set out in Abuja, in particular, accountability and participation.</td>
<td>The framework language is developed from GIZ’s approach to the logical framework, and is also used in the example logical framework for an REC (next tab).</td>
</tr>
<tr>
<td>(a) Increase economic self-reliance and promote endogenous and self-sustained development.</td>
<td>(a) Strengthen and establish necessary regional economic communities.</td>
<td>Formal agreements for each REC are on the REC’s webpage and available in each relevant member country’s relevant executive branch office within 1 year. Organizations established by each REC are staffed and funded at 80% of plan within 3 years. 70% of activities formally adopted and budgeted for by the REC should be ongoing or completed within 5 years.</td>
<td>To be collected and analyzed by an external evaluator. All activities which are to be implemented by the REC and/or member states should be evaluated by an external party, either from another REC or from outside the AU, but with extensive experience working within the legal and economic climate of the REC. The REC should schedule a mid-term process evaluation 2-3 years after adoption of the plan and a final evaluation to be carried out no later than 3 months following the conclusion of the plan, even if the plan has not yet been fully realized (as some elements may never be completed for practical reasons). The evaluators will be referred to here as &quot;mid-term evaluator&quot; and &quot;end-term evaluator&quot;, respectively.</td>
<td>The goals in this document are very broad, so do not require ongoing verification. They also cannot be verified objectively from within the organization. On the other hand, activities within each REC will be more specific and can be verified by their own M&amp;E departments using everyday processes.</td>
</tr>
<tr>
<td>(b) Conclude agreements that harmonize and coordinate policies among said economic communities.</td>
<td>Each REC webpage displays a list of all agreements listed in REC meeting minutes. 90% of agreements initiated are concluded or designated “dead” within 7 years.</td>
<td>This indicator should be assigned to one individual working in the REC’s economics or investment management sector, who shall report annually to the head of the REC. The report should be in terms of raw numbers of joint investment programs initiated, ongoing and abandoned, so the evaluators can cross-check more easily.</td>
<td>This output may be under purpose (b) or (d). Logically, there is a degree of overlap between these purposes. However, the logic should remain consistent between RECs so that the basic direction of integration remains the same.</td>
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<tr>
<td>(c) Promote, strengthen and engage in joint investment programmes in production and trade of major products and inputs.</td>
<td>If joint investment programs in the REC in five to seven key industries goes up by 25% over 5 years.</td>
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<tr>
<td>(d) Trade liberalization through abolition of import and export customs duties, and non-tariff barriers, to establish a free trade area in each regional economic community.</td>
<td>Each REC has a single diagram which describes the chain of command for each relevant multinational institution, describing an organization in which no office has more than two upline reports (e.g. one national and one regional).</td>
<td>Mid-term and end-term evaluators should include these questions in their document review. They will refer directly to the head of the REC, the REC websites, and the relevant organs. To be detailed further in each REC’s logical framework.</td>
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<tr>
<td>(b) Establish a continental framework for development, mobilization and utilization of human resources.</td>
<td>The harmonization and rationalization of the activities of existing African multinational institutions and the establishment of such institutions with a view to their possible transformation into organs of the Community.</td>
<td>Each REC has a single diagram which describes the chain of command for each relevant multinational institution, describing an organization in which no office has more than two upline reports (e.g. one national and one regional).</td>
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<tr>
<td></td>
<td>Trade liberalization through abolition of import and export customs duties, and non-tariff barriers, to establish a free trade area in each regional economic community.</td>
<td>Each REC has a single diagram which describes the chain of command for each relevant multinational institution, describing an organization in which no office has more than two upline reports (e.g. one national and one regional).</td>
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<tr>
<td></td>
<td>Establish a continental framework for development, mobilization and utilization of human resources.</td>
<td>Each REC has a single diagram which describes the chain of command for each relevant multinational institution, describing an organization in which no office has more than two upline reports (e.g. one national and one regional).</td>
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</table>
No of countries implementing innovative programmes in education / employable skills for Women and Youth. (AU Outcome 1, Output 1)

Harmonized framework (African Information Society AFRISOC) and number of guidelines (Analog to digital migration, open access and roaming, ...) developed and promoted to contribute to continental and regional integration. (AU Outcome 3, Output 2)

At least 50% of countries in the REC are contributing annually X% of their national budget to the Community Solidarity, Development and Compensation Fund. REC countries’ national budgets, as verified by an external auditor, should be reviewed by the mid-term and end-term evaluators.

An agreement establishes separate directorate with a rotating head established which is recognized by at least half of the member states and member states in each REC. Mid-term and end-term evaluators to verify policy adoption. All documents should be available online for verification.

50% of non-land-locked or semi-land-locked or island countries adopt a treaty that gives land-locked, semi-land-locked and island communities favored rights regarding imports, exports, and other relevant issues.

Number of guidelines on renewable energy (Geothermal, Hydro, solar, bio-energy and wind) developed to contribute to socio-economic development. (AU Strategic Plan 2014-17, Outcome 3, Output 3 (p. 164))

Number of guidelines on fossil fuel (oil and gas) and renewable energy (per REC) developed and promoted to contribute to socio-economic development. (AU Outcome 3, Output 3, p. 164)

No. of frameworks /policies and networks developed and promoted (Bio Diversity, Bio Safety and Bio Ethics). No. adopted by at least 20 member states. (AU Outcome 3, Output 4, p. 172)

Framework of ‘user pays’ and ‘polluter pays’ principles for roads established and adopted. (AU Outcome 3, Output 4, p. 171)

The REC has established and ratified agreements concerning:
1. Free Movement of Persons
2. Free Movement of Workers
3. Right of Establishment
4. Right of Residence
5. Schedule of Commitments on the Progressive Liberalization of Services
6. Schedule on the Removal of Restrictions on the Free Movement of Capital (from Abuja Treaty, Objective (c), Outcome (i)).

This indicator in particular should be evaluated by legal and social experts specializing in the relevant areas (e.g. trade, migration, etc.). As many obstacles are extra-legal, the legal evaluation should be compared with a survey of a representative sample of the population in each REC regarding the implementation of these agreements and expected REC-specific outputs. E.g. Even if a visa requirement has been removed, do business people or students still suffer from burdensome checks at borders or when renting space to live / operate?
<table>
<thead>
<tr>
<th>Activity</th>
<th>Required Action</th>
<th>Verification Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>(h) The establishment of a common market.</td>
<td>8 countries in the REC using a common currency is up by 100% (doubles) within 5 years; if common currency is in not in use, at least three countries use a common currency within 5 years.</td>
<td>Mid-term and end-term evaluators to verify policy adoption. All documents should be available online for verification.</td>
</tr>
<tr>
<td>(d) Adoption of a common trade policy vis-à-vis third states.</td>
<td>Common trade policy vis-à-vis third states is adopted by the REC by 2017, and by 15 other countries.</td>
<td>Organ budget, organizational chart and expenditure reconciliation to be reviewed by external auditor. Audits are expected to be part of AU operations and should be requested by external auditor.</td>
</tr>
<tr>
<td>(g) Establishment and maintenance of a common external tariff.</td>
<td>Common external tariff adopted by the REC and at least 15 other countries by 2017.</td>
<td>Mid-term and end-term evaluators to verify policy adoption. All documents should be available online for verification.</td>
</tr>
<tr>
<td>(m) The establishment of appropriate organs for trade in agricultural and cultural products, minerals, metals and manufactured and semi-manufactured goods within the community.</td>
<td>Documentation establishing a regional free-trade area for each REC specifically establishes an organ for trade in agricultural, cultural, mineral, metal, manufactured and semi-manufactured goods, as its own section. There is an organisational chart for each organ within 2 years.</td>
<td>Mid-term and end-term evaluators to verify registry adoption. All documents should be available online for verification.</td>
</tr>
<tr>
<td>(n) The establishment of contacts and the promotion of information flow among trading organizations such as state commercial enterprises, export promotion and marketing, chambers of commerce, etc.</td>
<td>There exists a single, REC-kept registry available to inform individuals of their counterparts in other nations and regions. 1 international, sponsored meeting held for commercial enterprises, exporters, marketers, chambers of commerce, etc. each annually. To be detailed further.</td>
<td>Mid-term and end-term evaluators to verify registry and meeting records. Records of meetings should be available online for verification.</td>
</tr>
<tr>
<td>(p) Any other activity undertaken jointly in order to attain Community objectives.</td>
<td>Percentage of organs (AUC and RECS) who share the view that institutional capacities have improved. (AU Outcome 7)</td>
<td>General opinion polls</td>
</tr>
</tbody>
</table>

Certain activities expected to have an effect on the "average" citizen in the RECs cannot be gathered by a single evaluation agency. Rather, the data should be available to an evaluator to summarize. RECs should hire experts from within the region if possible to engage a representative sample of the population in focus groups and surveys regarding the day-to-day effects of policy changes. E.g. Which new consumer products are available to them? Are they getting a better price for agricultural produce? Has transportation time been cut, and what do they do with their extra time? Etc. Such polls may be conducted annually or a certain period of time after the policy change has been initiated.
There will be one logical framework for each overall objective. As there are four overall objectives in the Abuja Treaty, this means each REC will use four logical frameworks: one for each overall objective. This logical framework is an example based on the first overall objective, (a).

<table>
<thead>
<tr>
<th>LOGIC OF INTERVENTION</th>
<th>OBJECTIVELY VERIFIABLE INDICATORS</th>
<th>SOURCES OF VERIFICATION</th>
<th>ASSUMPTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall Objective</td>
<td></td>
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</tr>
<tr>
<td>(a) Increase economic self reliance and promote endogenous and self-sustained development.</td>
<td>Each REC should choose from AU indicators, as these are so general as to be common among all countries. <em>Example for this objective: Country-level and aggregated GDP</em></td>
<td>RECs should choose external, easily accessible, ongoing studies, for example: World Bank data on GDP per capita and median GDP per country</td>
<td>These are REC specific and should relate to specific ecological, political and trade assumptions.</td>
</tr>
<tr>
<td>Purpose</td>
<td></td>
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<tr>
<td>(a) Strengthen and establish necessary regional economic communities.</td>
<td>Formal agreements for each REC are on the REC’s webpage and available in each relevant member country’s relevant executive branch office within 1 year.</td>
<td><em>When the mid-term and end-term evaluations are to be conducted, based on the REC’s own timeline.</em></td>
<td>These are REC specific. Not every purpose will have its own assumption, but every set of purposes will have one or two assumptions, particularly in RECs that rely on trade with other RECs, foreign partners, or specific foreign aid.</td>
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<td>(b) Conclude agreements that harmonize and coordinate policies among said economic communities.</td>
<td>70% of activities formally adopted and budgeted for by the REC should be ongoing or completed within 5 years. Each REC webpage displays a list of all agreements listed in REC meeting minutes.</td>
<td><em>The existing infrastructure for M&amp;E within the REC, with an eye to using existing processes for documentation and data entry.</em></td>
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<td>(c) Promote, strengthen and engage in joint investment programmes in production and trade of major products and inputs.</td>
<td>90% of agreements initiated are concluded or designated “dead” within 7 years.</td>
<td><strong>THERE SHOULD BE NO BLANK BOXES IN THE FINAL VERSION. MERGE CELLS TO INDICATE ASSUMPTIONS COMMON TO SEVERAL PURPOSES.</strong></td>
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</tr>
<tr>
<td>Results</td>
<td></td>
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<tr>
<td>These will be specific to each REC. Each purpose may have multiple results, but ideally not more than 10, with three to four being a good average.</td>
<td>Indicators should be result-specific. For example, to which document will you refer the evaluator to describe this achievement?</td>
<td>See instructions for &quot;source of verification&quot; above.</td>
<td>Include the timeframe, number or percentage expected, units.</td>
</tr>
</tbody>
</table>
### Activities

Each result will have a set of activities. E.g. Result (a)1 can be related to activities (a)1.1, (a)1.2, (a)1.3, result (a) 2 to activities (a) 2.1, (a) 2.2, etc.

### Means

Describe the administrative, logistical, infrastructure and other requirements to implement the activity, including national infrastructure and political units that can be relied upon by the REC.

### Costs

For each means used to achieve the activity, refer to a specific budget and budget line (available for an evaluator) and total for that activity. Estimates should be replaced by specific totals with budget lines by the mid-term evaluation.

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### Preconditions

For RECs, these should detail the conditions for the existence and support of the REC itself.
Annex 4:

Terms of Reference for Study on Guiding Principles for M&E Frameworks in RECs

Context

A regional workshop for practitioners on monitoring and evaluation practices was held on 3 and 4 September 2012 in Gaborone, Botswana. The workshop focused on the experiences of SADC, ECOWAS and EAC.

The organisation of the workshop was facilitated by the German Cooperation for Development (GIZ) Offices in Botswana, Tanzania and Nigeria. The workshop offered a platform for practitioners of the three RECs to exchange knowledge and best practices in M&E system development and automation.

The necessity for RECs to agree on guiding principles in the design and implementation of their M&E systems was recognised by participants. This was mainly informed by the fact that RECs should converge towards the goals of the African Economic Community (AEC) and facilitate the attainment of the MDGs by Member States. In that effect, a working group has been set up (under the coordination of the EAC) to prepare a report to be presented at the next meeting of the Forum to be hosted in 2013 by the ECOWAS Commission, in collaboration with, and support of GIZ.

The rationale of this study stems from the fact that RECs have been arranged as regional groupings to facilitate the achievement of the strategic goals of AEC, and that the M&E frameworks of the RECs constitute preferred avenues to assess convergence of their respective goals towards those of the AEC. The study seeks to highlight fundamental overarching principles which should guide the RECs and serve as reference to check overtime their convergence.

Objectives

The overall objective of the study is to propose overarching guidelines to be followed by RECs in the design of their M&E frameworks and systems to ensure convergence towards the strategic goals of the AEC.

Specific objectives include:

- To highlight the AEC’s strategic goals and possible performance measurement framework
- To document the strategic frameworks of RECs, and their existing or planned M&E systems and frameworks (the consultant is to propose the format of an exercise for the meeting of the RECs from the 11th-13th of November 2013 in order to undertake a first set of data collection with the RECs).
- To analyse the issue of convergence of RECs towards AEC goals
- Propose guiding principles to be respected by RECs through their respective M&E frameworks and systems to ensure convergence towards AU goals. For example, this could take the form of proposing overarching indicators to be observed by the M&E
frameworks and systems of RECs; or any other way that would be deemed appropriate

**Expected outputs**

Expected outputs include:

- Assessment report on the following:
  - AEC’s strategic goals and possible performance measurement framework
  - Strategic frameworks of RECs, and their existing or planned M&E systems and frameworks
  - Analysis of convergence of RECs towards AEC goals
- Proposed guiding principles of RECs’ M&E frameworks and systems (including overarching indicators) ensuring their convergence towards AU goals
- Overall consultant’s report amended according to the comments of selected RECs