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COMMUNITY SECRETARIAT**

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SADC INSTITUTIONAL REFORMS

Consolidated IA Recommendations implementation Roadmap: Final Report 2nd Phase of 3rd IA 2011

Version 3.1

Date updated: 27/09/2012

Serial No.	Reference in Mid-Term Report/2010 IA Roadmap	Improvement Areas	Source of Recommendation	Recommendations	RATING 2 – (Validity Assessment as per EY)	Required Tasks to address the Recommendation	Objectively Verifiable Indicator (OVI)	Timing of implementation	Data Source (Document/ Evidence for OVI Verification)	Status of implementation (September 2012)	Responsibility	Support by
Pillar 1 Accounting Standards												
1	6.1.4	Management should consider the advantages and disadvantages of adopting IPSAS (International Public Sector Accounting Standards) instead of IFRS, given IPSAS are specifically tailored to the public sector.	3 rd IA	Secure expertise to assess the changes and requirements that a shift to IPSAS will imply.	Medium	1. Progress funding 2. Select consultant 3. Manage Consultancy	Study on IPSAS & IFRS	31-Mar-12	Study Report	G - CoM approved the adoption of International Public Sector Accounting Standards as the financial reporting framework for SADC Secretariat. CoM Decision 19 in the Council Draft Record of August 2012, Maputo, Mozambique	Senior Finance Officer (Management Accounting)	
2	2	Lack of monitoring of actual costs against budget.	2 nd IA	Moore Stephens Recommendation: Quarterly discussions of the level of implementation between the Operational Directors and Finance professionals would be beneficial to increasing understanding and the effectiveness of this management tool. The Operational Directors as non-finance professionals would benefit from in-house training on how to read and interpret financial reports. We understand that training has been planned for the Directors in early 2010. EY COMMENTS AND RECOMMENDATIONS: Comment: Monitoring of actual vs. budget is done by SS management every 6 months, which is not frequent enough. Recommendation: A formal meeting of all Heads of Directorates and units should be conducted quarterly. The meeting should be minuted and the following covered in the minutes: - Analysis of trends and factors affecting performance; - Remedial actions agreed upon, with responsible party(ies) and timeline for each action; and - Update on implementation status of action in following meeting and remaining actions to close out.	Very high	Schedule Public Finance Management (PFM) Workshops for Executive, Directors, and all non finance controlling officers. Prepare report with analysis of trends. Recommended remedial action.	1. Management attendance at workshops. 2. Management commitment to PFM culture in organisation Quarterly Meetings to monitor implementation performance	1-Apr-12 1-Apr-12	Attendance registers of workshops. Memo from Executive Secretary and DES FA. Opening of Workshops by ES and DES FA. Minutes of Quarterly MT Meetings Minutes of Quarterly Meetings	G - Completed PFM Training in March / April. 69 SADC staff reached. Course needs to be repeated. A - PMC Meeting of 1st November 2011 considered Quarterly Progress and Variance Reports for the quarter ending 30 September 2011. PMC meeting of 7 February considered Quarterly Progress and Variance Reports for the quarter ending 31 December. B&F commenced quarterly meetings with Directorates in February (I&S - FANR).	Director Budget & Finance/ Senior Finance Officer/PPRM	Lot 1 & 2, & GIZ
3	6	Online banking has yet to be established.	2 nd IA	Moore Stephens Recommendation: Online banking should be established. Also, bank reconciliations should be done automatically on the Sun systems accounting package. EY COMMENTS AND RECOMMENDATIONS: Comment: Online banking is already in place. Recommendation: Management explores the possibility to perform automatic bank reconciliation.	Low	Agree Common Reference System that allows online matching	Automatic Bank Reconciliation	Within one year	System generated bank reconciliation reports	G - Completed. Online banking now operational complete with system generated bank reconciliation reports. Automatic bank reconciliation active for member states accounts.	Budget & Finance	Lot 1
4	10	Inconsistent accounting policies are noted in the Financial Statements.	2 nd IA	Moore Stephens Recommendation: Accounting practices should be reviewed and updated in line with international accounting standards. We recommend that the Treaty is amended to specify that the accounting framework should be International Public Sector Accounting Standards (IPSAS) as appropriate to the activities of SADC. EY COMMENTS AND RECOMMENDATIONS: Comment: Our review of the released 2009/2010 financial statements revealed instances of non-compliance with the disclosure requirements of IFRS. None of these instances were fundamental for the understanding of the financial performance of the SS. Recommendation: EY recommends that the care is taken to address IFRS disclosure requirements in financial statements. EY is also of the view that the accounting framework is further reviewed in line with international accounting standards such as IPSAS which is more appropriate to the activities of SADC. However, EY does not see the necessity of having the Treaty amended to specify the accounting framework/ standards to be used by SADC as the provision of the Treaty (Article 30) allows the Council to approve financial regulations for the management of the affairs of SADC.	Medium	NA Refer item 1as this is a duplicate	IFRS disclosure requirements in FS addressed	By start of next financial year 2012/2013	2010/11 Audited Annual Financial Statements	G - All specific recommendations on disclosures have been addressed	Budget & Finance	Lot 1
5	17	There is a lack of dissemination of information gained on missions.	2 nd IA	Moore Stephens Recommendation: Mission reports should be prepared for all missions to enable the assessment of effectiveness and the mission outcomes. The mission reports should be circulated amongst the Directorates to ensure the knowledge gained is disseminated. EY COMMENTS AND RECOMMENDATIONS: EY is of the view that an efficient Knowledge Management System should be developed to enable proper dissemination of knowledge gained. Management of SADC can also explore the possibility of aligning this Knowledge Management System with the Extranet which is currently being developed by SADC ICT. (Please refer to section 3.1.2 of the Mid-Term Report/2010 IA Roadmap).	Medium		Functional Knowledge Management System	To be completed within one year	Knowledge Management System	GIZ & Lot 2 are supporting the Knowledge Management system to the extent that monitoring information and the development cooperation information system are part of the knowledge that need to be managed. GIZ has engaged STE to develop knowledge management strategy for SADC secretariat	PPRM	GIZ & Lot 2
6	18	Duplication of resources occurs for EC project accounting (for EC projects, expenditure are inputted twice. Once on the Sun System and once on Tom Pro.)	2 nd IA	Moore Stephens Recommendation: The required budget headings should be set up on the Sun Systems and then Tom Pro should cease to be used. EY COMMENTS AND RECOMMENDATIONS: A project to migrate data from Tompro (Project Management System) on Sun System is in progress. This will allow better efficiency and allow usage of Sun Systems to its potential. Training on Vision to be done.	Medium	1. Finalise Reports required from Sun, Gain ICP agreement. 3. Phase out Tom Pro.	1. Expenditure data input in Tompro ceases, 2. Migration of data from Tompro onto Sun System completed	To be completed within 6 months	New Sunstem database	A - Individual business units created in Sun. Still need to assess reporting requirements of ICPS for reports produced by Sun and Phase out Tom Pro	Budget & Finance/ ICT	Lot 1
Pillar 2 Audit Standards												

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None												
Pillar 3A Internal Control Framework												
New policies and procedures applicable at the SS												
7	6.3.2	A large number of policies and procedures have been drafted and are to be approved and implemented shortly. These include the following: To be approved by Council in Aug 2011 - Procurement Guidelines; - Conduct, Discipline, Grievance and Appeals; - Employee Relations; - Recruitment, Selection and Appointment; - Performance Management and Procedures; - Training & Development; - Safety, Health and Environment; - HR Handbook; and - Travel Policy To be approved by ES: - Records Management Policy; and - Records Management Procedure Manual. The challenges and effort involved in making so many policies and procedures understood and adhered to in practice need to be recognised and addressed by SS management.	3 rd IA	The SS to carefully plan the rolling out and implementation of all these policies by developing and implementing the following: - Clear training events and awareness campaigns throughout the year; - Considering assigning responsibility to officers in the support departments to act as a contact point to help SS officers interpret and apply the policies; - Supporting rollout efforts by disseminating frequently asked questions and answers material; and - Consolidate understanding by conducting tests amongst SS officers to ascertain extent to which policies are understood.	High	1. Develop a Training Plan 2. Implement Training Plan. 3. Test understanding.	1. Staff trained or sensitised on new HR policies and procedures, 2. Contact points established	12 months from official approval of policies and procedures.	1. Training reports/ Records	A- 1. Records Management Policy Approved and Implementation commenced. 2. Procurement Guidelines Approved and Implementation Commenced including training needs analysis and training plan. 3. CoM Decision 15 in the Council Draft Record of August 2012, Maputo, Mozambique: SADC Secretariat to re-submit the Policies and guidelines in February 2013	HR & Admin	Lot 1
8	31	Finance procedures manual is out of date.	2 nd IA	Moore Stephens Recommendation: We recommend that SADC updates the current finance procedures manual to reflect current practice, including adding relevant aspects of the Guide on Delegation of Authority issued in October 2009. EY COMMENTS AND RECOMMENDATIONS: Comments: The Finance Management Regulations are currently being updated. Recommendation: EY therefore reiterates the recommendation.	Medium	1. Initiate wider consultation on draft regulations including Member States. 2. Refine regulations. 3. Develop procedures. 4. Approve regulations and procedures. 5. Train on regulations and procedures.	1. Approved regulations and procedures. 2. Staff trained on regulations and procedures. 3. Delegations updated.	To be completed within 6 months	1. Approved regulations and procedures. 2. Training Plan. 3. Records of training implemented. 4. Updated delegations framework and register.	A - Revised SADC Financial Regulations - Approved CoM Decision 18 in the Council Draft Record of August 2012, Maputo, Mozambique. Review of Financial Procedures is underway. Delays have been experienced due to additional effort required for regulations and consultation on procedures requiring more time than anticipated	Budget & Finance	
Fraud												
9	29	There were no procedures in place to report improprieties and to action their follow-up.	2 nd IA	Moore Stephens Recommendation: We recommend that a formal whistle-blowing policy or mechanism for staff to report suspected fraud or corruption should be formulated and publicised to all staff. This policy should be implemented on a top down basis throughout the Secretariat, to ensure that everyone understands the importance of the policy and that senior management supports the policy. The website could also be utilised to promote an anti-corruption stance by including "this is a corruption free organisation" in its pages. The SADC should also define what constitutes fraud and corruption and could consider some of the following as examples: • E70 Misuse of per diem. • Avoiding tax on an invoice. • Preferential selection of a supplier. We recommend that the Audit Committee should monitor the progress being made to devise and implement these policies. EY COMMENTS AND RECOMMENDATIONS: Comments: Currently policies covering fraud outside the scope of procurement are not in place. A Conduct, Discipline, Grievance and Appeals policy (which includes policies relating to fraud) has been prepared in draft form and is due for approval at the next Council of Ministers in August 2011. This policy contains guidelines for handling and sanctioning cases of fraud. We did not observe any evidence of sustained awareness campaigns and training of SS officers on fraud related risks and methods for managing such risks. Recommendations: The Conduct, Discipline, Grievance and Appeals policy should be approved by the Council of Ministers in August 2011. The SS needs to carefully plan the rolling out and implementation of all this policy and sustain awareness of the policy beyond initial rollout: (refer to section 6.3.2 of the Mid-Term Report/2010 IA Roadmap)	High					A-The Establishment of an independent staff grievances appeals committee--CoM Decision 2 in the Council Record of November 2011. in addition, provisions developed as part of Conduct, Discipline and Grievance Policy (includes whistle-blowing, fraud, bribery and corruption). ** Policy not approved by Council in August 2012. To represent in February 2013.	Directorate HR & Administration	Lot 1
10	48	There is no policy on anti-corruption and fraud.	2 nd IA	Moore Stephens Recommendation: We recommend that a policy dealing with anti-corruption and fraud along with a code of ethics is included within staff rules and regulations and is formally communicated to staff on a regular basis e.g. in a formal announcement or email or posters around the workplace. This would serve to promote SADC's anti-corruption stance. EY COMMENTS AND RECOMMENDATIONS: Comment: A policy dealing with anti-corruption and fraud along with a code of ethics has been drafted. Recommendation: To operationalise the policy. (Please refer to section 6.3.2 of the Mid-Term Report/2010 IA Roadmap).	Medium			To be completed by August 2011		A- 3. CoM Decision 15 in the Council Draft Record of August 2012, Maputo, Mozambique: SADC Secretariat to re-submit the Policies and guidelines in February 2013	HR & Administration	Lot 1
Order to Pay												
11	6.3.3.4.2	Open PO reports are reviewed by Finance on an ad-hoc rather than systematic basis.	3 rd IA	A report of open POs should be extracted from IPOS on a monthly basis. This report should be reviewed and signed off by a Finance officer who is independent of officers involved in initiating and approving such POs. This officer should ensure open POs are closed out by chasing up suppliers or cancelled if the orders are no longer required.	Medium	Develop procedure for reviewing / checking Procurements review	Monthly report of open POs reviewed and signed off by a Finance officer	1-Oct-11	Monthly report of open POs	A - Three workshops held between B&F and Procurement on the Requisition to Pay cycle. Procedures to be developed.	Senior Finance Officer/ Finance Officer- Budget	
Travelling												
12	37	An in-house travel officer and dedicated travel agent have not been appointed. Travel policies lack clear guidelines.	2 nd IA	Moore Stephens Recommendation: An in-house travel officer should be appointed to book all travel and track the travel of each member of staff and to assist with the reconciliation of invoices. Due to the high volume and high cost of travel within the SADC Secretariat, regular reconciliations of travel requisitions and invoices should be undertaken. A travel policy should be formulated and incorporated into the Administrative rules and procedures manual. EY COMMENTS AND RECOMMENDATIONS: Comment:	High						HR & Administration	

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				A draft travel policy has been prepared and will be submitted to the Council for approval in August 2011. SS already started procedures to outsource the procurement of air tickets to a travel agent. All travel requisitions are reconciled / matched to invoices prior to payment. Recommendations: The draft travel policy be submitted to the Council for approval in August 2011 and if approved, be implemented by the SS. (please refer to section 6.3.2 of the Mid-Term Report/2010 IA Roadmap) - SS to further explore possibilities to complete the outsourcing process of procuring air tickets. As already proposed by the SS, secure services of a travel agent who operates within the premises of SS whereby all bookings for flight tickets and hotels/accommodation are centralised via this agent. (Please refer to section 6.3.3.8.2 of the Mid-Term Report/2010 IA Roadmap)									
						1. Travel Policy approved. 2. Travel Policy Implemented	1. Travel Policy in force	To be completed by August 2011; Thereafter implementation completed within 6 months	1. Approved Travel policy. 2. Council decision	A - Revised Travel Policy approved. CoM Decision 16 in the Council Draft Record of August 2012, Maputo, Mozambique		Lot 1	
						1. Recruit Travel Officer 2. Outsource procurement of air tickets.	1. Travel agent outsourced; 2. Procurement of air tickets outsourced		1. Employment contract with travel officer. 2. Contract with Travel Agent.	A - 1. Job description for Travel Officer Approved. 2. Specification for Appointing Travel Agent developed. Council directed that funding for position must come from existing resources. Resources not currently available.			
Human Resource Management													
13	6.3.4.3.2	Out of 160 established staff, 32 officers will come to the end of their terms in 2013 and 40 in 2014 (coming to almost 50% of total complement). Of these, many are senior management members.	3 rd IA	This critical matter should be highlighted at the next Council meeting in August 2011 and a solution found.	High	Inform Council and propose solution	CoM informed of the staffing situation at SS	By 2012	Record of CoM	G - 1. CoM Decision 2 in the Council Record of November 2011. Once off contract extension (subject to satisfactory performance and need for the position in the organization) in a special dispensation for local and regional staff whose contracts were running when the two four year contract limit was introduced. 2. -CoM Decision 3 in the Council Record of November 2011. - Establishment of Professional Permanent Staff System – Long term fixed contracts: a) Treaty based positions and Directors – Status quo, b) Regionally recruited positions – a once off performance based contract extension, and c) Locally recruited positions – a once off performance based contract extension	HR & Admin	Lot 1	
14	6.3.4.3.2	The current contract basis of employment limits the ability of SS to manage the career of its employees on a longer term basis and may compromise the long term commitment of the employees to the organisation.	3 rd IA	See above regarding raising the issue with the Council of Ministers.	High			By 2012			HR & Admin		
15	6.3.4.3.2	The SS has limited influence over the pre selection performed by Member States (MS) of candidates to vacant positions.	3 rd IA	The SS should be able to participate in the vetting of candidates at the MS levels and have a say in the selection.	Medium	Implement related provisions in proposed policy for Recruitment Selection and Appointment	Recruitment, selection and appointment Policy in force	Mar-12	1. Approved Recruitment, selection and appointment Policy. 2. Council decision, 3. Records/ reports of staff recruitment process	A - Provisions developed as part of Recruitment, Selection and Staff Appointment Policy. CoM Decision 12 - CoM deferred the approval and referred the matter to Member States for further consideration before it is submitted to Council in August 2012. Council Record of March 2012	HR & Admin		
16	6.3.4.3.2	Delays in recruitment experienced due to need to fly individuals into Gaborone to attend assessment panel meetings.	3 rd IA	Basis for needing to fly in SADC stakeholders into Gaborone for assessment of candidates should be critically reviewed with a view to making the recruitment cycle shorter and improve ability of the SS to react quickly and secure appropriate resources.	Medium			Within 2011			HR & Admin		
17	6.3.4.3.2	Instances were observed of communication breakdown between national contact points and SS for timely release of recruitment adverts.	3 rd IA	The SS to follow up release of adverts with national contacts on a continuous basis.	Low			Immediate			HR & Admin		
18	6.3.4.3.2	The SS is heavily reliant on a manual system to maintain HR records despite VIP having an HR module.	3 rd IA	Input of HR management data in VIP to be completed and the capabilities of VIP to be fully utilised as soon as possible.	Low	1. Secure funding to migrate data from old system to new. 2. Migrate data. 3. Implement system. 4. Reboot and upgrade employee self service system.	HR management data computerised in VIP. Employee Service System operating.	Within 2011	1. VIP system. 2. Employee Self Service System.	A - 1. Have started using Leave module. 2. Require further funding to migrate information to new modules.	HR & Admin		
19	34	Short listing committees are recruited from MS's.	2 nd IA	Moore Stephens Recommendation: We recommend that short listing and interview committee positions should be filled from existing SADC staff, perhaps using a combination of two staff from the recruiting directorate and one from human resources. EY COMMENTS AND RECOMMENDATIONS: Comment: A document drafting this policy has already been prepared and will be submitted to Council. Recommendation: To operationalise new policies and procedures.	Very high			Within 1 year		A - Provisions developed as part of Recruitment, Selection and Staff Appointment Policy. CoM Decision 15 in the Council Draft Record of August 2012, Maputo, Mozambique: SADC Secretariat to re-submit the Policies and guidelines in February 2013	HR & Administration	Lot 1	
20	35	Member States screening of prospective interview candidates is still not considered adequate.	2 nd IA	Moore Stephens Recommendation: Checklists based on the job description should be completed by the Member States before sending candidates for short listing. In this way the Secretariat can eliminate potential candidates that do not meet the criteria before they reach the short list committee. EY COMMENTS AND RECOMMENDATIONS: Comment: A document drafting this policy has already been prepared and will be submitted to Council. Recommendation: To operationalise new policies and procedures.	Very high			Within 1 year		A - Provisions developed as part of Recruitment, Selection and Staff Appointment Policy. CoM Decision 15 in the Council Draft Record of August 2012, Maputo, Mozambique: SADC Secretariat to re-submit the Policies and guidelines in February 2013	HR & Administration	Lot 1	
21	42	Lack of an organised system of competence development plans for staff that meet the development needs of individuals.	2 nd IA	Moore Stephens Recommendation: We recommend that a training needs assessment should be undertaken to identify the areas where effective training is required. From this, a training strategy and plan should be devised to address the needs of the Secretariat. This should be communicated to all staff in order to achieve the maximum benefit. EY COMMENTS AND RECOMMENDATIONS: The HR Department compiles all training requirements identified through performance appraisals, institutional skills audits and heads of departments into a Training Plan and a Training budget which is communicated to all staffs. A Training & Development Policy has been drafted and will be submitted to the Council for approval in August 2011. Recommendation: The Training & Development Policy to be approved by the Council and be implemented by the SS. (Please refer to section 6.3.2 of the Mid-Term Report/2010 IA Roadmap)	Medium			To be completed by August 2011				HR & Administration	Lot 1
						Approve Training & Development Policy	Training & Development Policy in force	Thereafter implementation completed within 6 months	Records/ reports of staff training	A - Provisions developed as part of Training and Development Policy. CoM Decision 15 in the Council Draft Record of August 2012, Maputo, Mozambique: SADC Secretariat to re-submit the Policies and guidelines in February 2013			
22	43	There was a lack of communication with decentralised locations i.e. Member States.	2 nd IA	Moore Stephens Recommendation: Communications with Member States should be conducted on a regular basis. Documents for meetings should be sent out in a timely manner in order for them to prepare sufficiently. Consideration should be given to increasing the information available via the website. This could possibly be achieved through a secure member's area. EY COMMENTS AND RECOMMENDATIONS:	High			Within 1 year		A - The Strategy Development, Planning, Monitoring and Evaluation Policy provides for communication with MS on the outputs of the strategy, planning, budgeting, monitoring and evaluation processes. Policy approved- CoM Decision 11 in the	Senior Management Team/ ICT	Lot 1, 2 & GIZ	

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				Communication with member states exists but is not efficient and effective. Clear aspects of SNCs should be defined and development of secured means of effective communication should be implemented. The SADC MS should also review the whole governance framework relating to the programming cycle at the policy level in order to ensure that the basic concept of inclusiveness as provided in the treaty regarding the SNCs is not overlooked. (Please refer to section 7.5.1.2 of the Mid-Term Report/2010 IA Roadmap)			Effective Communication with SNC Governance framework relating to the programming cycle at the policy level reviewed		SADC Quarterly reports Governance framework study report	Council Record of March 2012			
23	49	Clear guidance on all HR issues is needed.	2 nd IA	Moore Stephens Recommendation: A Human Resources manual should be developed. This would be a key opportunity to overhaul the HR policies in operation. The manual should include but not be limited to; recruitment, performance appraisal and training and development policies. The policies within should considerably revise the existing policies to reflect the recommendations included within this report. EY COMMENTS AND RECOMMENDATIONS: Comments: A set of policies and procedures relating to HR have been drafted and will be submitted to the Council for approval in August 2011. Recommendation: The set of Policies and Procedures be approved by the Council and be implemented by the SS (Please refer to section 6.3.2 of the Mid-Term Report/2010 IA Roadmap).	Medium			To be completed by August 2011		1. Recruitment, Selection and Staff Appointment Policy; 2. Training and Development Policy; 3. Employee Relations Policy; 4. Performance Management Policy; and 5. Conduct, Discipline and Grievance Policy (includes whistle-blowing, fraud, bribery and corruption) developed. 6. CoM Decision 15 in the Council Draft Record of August 2012, Maputo, Mozambique: SADC Secretariat to re-submit the Policies and guidelines in February 2013	HR & Administration		
Fixed Asset													
24	6.3.4.4.2	The AFO who records the asset on SUN system is also the person who physically affixes the barcode sticker to the asset. This represents a breakdown in segregation of duties.	3 rd IA	- Barcoding should be done by Procurement upon receipt of the asset. A register of affixed barcodes should be kept by procurement and reconciled with the FAR on a monthly basis. - The recording of the asset on the SUN System should be performed by a separate officer in Finance.	Medium	Handover process to procurement to be completed. NA	Barcoding of assets and register of affixed barcodes conducted by procurement staff Recording of assets on sunsystem performed by Finance staff	Immediate	register of affixed barcodes Fixed Assets Register on Sun Systems	A - Barcodes have been handed over to procurement. Further training is being planned to end November. G - Implemented.	Procurement and Finance	Lot 1	
25	6.3.4.4.2	No process in place to update records when assets are moved from one location to another.	3 rd IA	A process for notifying, approving and recording the movement of assets from one custodian/location to another should be developed and implemented immediately following the completion of the above mentioned asset count.	Low	Follow up implementation of designed forms and process.	A process for notifying, approving and recording the movement of assets from one custodian/location to another in force	Once full asset count performed and fixed asset records updated	Records on movement of assets	A - Forms designed, process documented and provided to administration. Follow up planned beginning November	HR & Admin		
Document Retention													
26	6.3.4.5.2	For documents other than correspondence, there are currently no filing and document retention policy and procedures in place. The following has been prepared however for approval by the ES: - Records Management Policy; and - Records Management Procedure Manual.	3 rd IA	Approve and implement the Records Management Policy and Records Procedure Manual.	Medium		1. Records Management Policy in force 1. Records Procedure Manual in force	By September 2011	1. Approved Records Management Policy 1. Approved Records Procedure Manual	G - Implemented - some elements G - Implemented - some elements	ES		
27	6.3.4.5.2	Files which are due for destruction in line with existing archiving policy are not assessed and destruction effected as deemed appropriate.	3 rd IA	Once the files in the archive room have served their retention period, an assessment of the file regarding the relevance and importance of its contents should be performed and relevant files should be destroyed.	Low	Follow up implementation of designed forms and process.	Assessment for relevance of files in the archive room that have served their retention period, prior to destruction.	Immediate	Archive Files Assessment report	G - Implemented - some elements	HR & Admin		
28	44	An appropriate information management system was not in place.	2 nd IA	Moore Stephens Recommendation: As an information based organisation, the IT systems would need an overhaul to accommodate the volume of data that should be available to users. A central electronic document filing system should also be implemented that can be accessed by people at appropriate levels of authority. EY COMMENTS AND RECOMMENDATIONS: Recommendation: EY noted that the SS is planning to acquire an electronic document management system. It will also be appropriate to develop an efficient Knowledge Management System instead of a static electronic filing system. In light of this, a full study of adopting a full fledged knowledge management system should be explored. The scope and terms of reference for such a study need to be drafted. (Please refer to section 3.1.2 and 6.3.4.5.2 of the Mid-Term Report/2010 IA Roadmap).	High			Within 1 year		Knowledge management system	GIZ & Lot 2 are supporting the Knowledge Management system to the extent that monitoring information and the development cooperation information system are part of the knowledge that need to be managed. GIZ has engaged STE to develop knowledge management strategy for SADC secretariat	PPRM/ ICT	Lot 2 & GIZ
Information Technology													
29	6.3.5.2.2	The IT Steering Committee has only met once since it was set up in 2010 – it needs to meet more regularly.	3 rd IA	The IT steering committee should meet quarterly and specific tasks should be performed to develop an action oriented oversight role. A checklist of tasks to be performed in a year to ensure that the committee discharges its role effectively should be developed and adhered to.	Medium		Quarterly IT steering Committee meetings Checklist of tasks	Immediate	Minutes of IT Steering Committee meetings Checklist of tasks	A - IT Steering Committee holds meetings regularly.	ICT		
30	6.3.5.2.2	Three IT staff for some 330 users in SS (which includes project staff) is low, considering the increasing reliance of SS on IT systems and the increasing sophistication and degree of integration of these systems (sun systems, IPOS and VIP in particular). The issue is partly mitigated by finance and HR directorates having their own IT administrator and a number of support functions being outsourced to "Open Systems".	3 rd IA	The ICT strategy 2010-2015 document already proposes a bolstered ICT organisation structure and manpower plan. This should be implemented and the impact on recruitment needs of the current arrangement to outsource ICT non-core processes should also be taken into consideration.	Medium	ICT Unit to prepare a detailed 2010-15 IT Strategy implementation plan and seek approval from Executive Management.	ICT strategy 2010-2015 implemented	Immediate	Minutes of IT Steering Committee meetings	R- ICT Unit to prepare a detailed 2010-15 IT Strategy implementation plan and seek approval from Executive Management.	ICT		
31	6.3.5.2.2	ICT is not always notified of leavers on a timely basis. Unauthorised user accounts that previously belonged to departed officers may still be active on the systems.	3 rd IA	Systematic monthly report of changes in headcount and identity of leavers to be issued by HR to ICT (report to be issued whether there are leavers or not).	Medium		monthly report of changes in headcount and identity of leavers to be issued by HR to ICT	Immediate	HR monthly report of changes in headcount to ICT	G- Leavers notification was affected by staff changes in HR. This has been resumed	HRA, ICT		
32	6.3.5.2.2	No proactive restoration of backup tapes - IT acts upon instructions received from user department.	3 rd IA	Backup tapes should be restored from time to time by ICT and a logbook of such exercises maintained with details of the restoration results. Corrupt tapes should be replaced on a timely basis.	Medium		Backup tapes restored from time to time by ICT	Immediate	Logbook of restored Backup tapes	R- Regular testing of backups to be included in Disaster Recovery Plan (DRP).	ICT		
33	6.3.5.2.2	The existing ICT policies are high level and do not provide detailed guidance to enable the guidelines to be put into operation. No ICT procedures manual currently in place.	3 rd IA	ICT related process manual to be developed and rolled out using ITIL framework.	Low		ICT related process manual in force	By 2012	1. Approved ICT process manual, 2. Minutes of IT steering committee	R- ICT procedures documented on helpdesk system. Manual to be drafted (might require consultant).	ICT		
34	6.3.5.2.2	Idle stations should be locked out after a pre-set time.	3 rd IA	Screensavers to be installed on all laptops and PCs by ICT with set idle times.	Low	Setting up screensavers to be included as part of end-user training	Idle stations (all laptops and PCs) locked out after a pre-set time with screensavers	Immediate	1. Installation report, 2. Minutes of IT steering committee		ICT		

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35	45	The need to develop disaster recovery policies.	2 nd IA	Moore Stephens Recommendation: A business continuity plan is needed, the disaster recovery plan is a subset of this. This area will also be identified through the Risk Management Process. EY COMMENTS AND RECOMMENDATIONS: It is very important to prepare a business continuity plan which will include a disaster recovery plan. EY therefore recommends that a DRP be developed, documented and tested on an annual basis. This should be timed with the change of status of the 'cold' site into a 'warm' site when satellite network is operational and real time replication between HQ databases and 'warm site' databases is in place. (Please refer to section 6.3.5.2.2 of the Mid-Term Report/2010 IA Roadmap)	Low	ICT Unit to prepare a DRP document and seek approval from Executive Management	Business continuity plan and disaster recovery plan in force	Within 18 months	Approved Business continuity plan and disaster recovery plan		Senior Management Team together with ICT			
36	46	Need for regular training of key staff in user departments in ICT risks.	2 nd IA	Moore Stephens Recommendation: The training plans envisaged, including offering the ICL International computer driving license to all staff, should be implemented and the compulsory element should be undertaken as soon as possible. EY COMMENTS AND RECOMMENDATIONS: Comment: Training plans have been prepared and Technical Fridays (monthly event) launched. However, EY noted that the existing ICT policies are not sufficiently understood by the user community as reflected by the results of a user satisfaction survey on the support provided by ICT performed by the internal audit team in August 2010. Recommendation: Training plans to be operationalised on a quarterly basis. Regular awareness sessions on ICT policies and related IT risks should be conducted as part of the monthly Tech Friday sessions. (Please refer to section 6.3.5.2.2 of the Mid-Term Report/2010 IA Roadmap)	Medium	Policy awareness will be included in Tech Fridays.	Staff trained based on quarterly training plan	Quarterly training to be done as from June 2011	1. Approved quarterly training plans. 2. Training report		ICT			
Risk Management Framework														
37	28	There was no: •evidence that a risk management processes exist; •description of the risk management process; •formal method of identifying events and risks affecting the achievement of the objectives; • formal method of analysing the significance of risks and the likelihood of their occurrence; • formal method for determining the actions and follow-up mechanisms needed to respond to the risks; and no • formal method for implementing and modifying controls to respond to changes in identified risks.	2 nd IA	Moore Stephens Recommendation: We recommend SADC: •establish a Risk Management Committee; •establish a draft risk management policy in line with the strategic objectives; •establish a draft risk management policy in line with the strategic objectives; •create risk registers populated with risks and mitigating controls at functional level; and •hold management workshops for all senior staff and implant and communicate the policy to all staff. Further details are contained in section 6.8 of Mid-Term Report/2010 IA Roadmap and in Annex VIII Road Map. EY COMMENTS AND RECOMMENDATIONS: Comments: To date, a risk management system is not operational at the SS. A Risk Management Conceptual Framework document has been developed but still requires the approval by the SADC and Council. The future challenge will be how SS will plan and gear itself forward in implementing this important aspect and materialising a risk management framework which reflects the changing reality the institution is facing. Recommendations: The following still needs to be finalised: - Risk Management Conceptual Framework document be approved by SADC and Council - Creation of risk registers; - Management workshops for all senior staff; and - Rolling out a fully fledged risk management framework SS should consider the following when rolling out a risk management system: - The maturity of the organisation and its officers in operating such a framework must be assessed in a realistic manner and the framework approved and rolled out accordingly; and - The roll out of the framework must be timed to correspond to the strengthening of internal processes, particularly in the planning and monitoring area. (Please refer to section 6.3.5.3 of the report).	Medium	Risk Management Policy/ Framework in force	Risk Registers	To be completed within 1 year	1. Approved Risk Management Policy/ Framework; 2. Council decision	G- Risk Management Policy approved. CoM Decision 6 in the Council Record of March 2012.	Completed Risk Registers	A- STE currently compiling register.	SADC Secretariat	
Others														
38	32	A mismatch still exists whereby activities are either too numerous or there is a lack of capacity to implement.	2 nd IA	Moore Stephens Recommendation: In addition to increased capacity requirements for PPRM (recommendation no. 39), capacity should be increased in order to properly implement the road map. Depending on the specific projects, this could require either recruitment or additional training. Vacancies should be filled as soon as possible and should not wait for recruitment to be done in batches. Once a full complement of staff has been obtained, further needs can be reassessed. EY COMMENTS AND RECOMMENDATIONS: Comment: Capacity at PPRM level has partially been addressed with the recruitment of a Senior Officer and Officers financed from MS or projects (CBRI and GIZ). However, no real improvement has been noted in the filling of vacant positions. Recommendations: (1) We recommend that the SS's priority be reviewed to quickly achieve full complement of staff; and (2) SS considers recruiting more permanent staff than project staff. Increasing capacity with the support of project staff is good provided the contract of the project staff is not for a short term period. (Please refer to section 6.3.6.4 of the Mid-Term Report/2010 IA Roadmap)	Very high	Revised PPRM structure in force	Permanent staff for PPRM recruited	Immediately	1. SS approved revised structure, 2. Council decision	Employment contracts		PPRM/ HR & Administration		
39	40	PPRM is not operating effectively.	2 nd IA	Moore Stephens Recommendation: External assistance is needed to guide this process and give direction to the Directorate. A fully integrated planning, budgeting, monitoring and evaluation plan is needed. EY COMMENTS AND RECOMMENDATIONS: Comment: Progress in recruitment has been done and a first draft of Planning, Monitoring and Evaluation Framework is being completed. Recommendation: The Planning aspect should be reviewed at two levels, that is, policy level and operational level. (Please refer to section 6.3.6.4 of the Mid-Term Report/2010 IA Roadmap).	Very high	Planning at two levels: policy level and operational level		Within 6 months	1. Approved SADC Policy for the Strategic Management, Planning, Budgeting, Monitoring, and Evaluation (SPME) Enhancement, 2. Council decision (Record of CoM)	1. SPME Policy approved-- CoM Decision 11 in the Council Record of March 2012 .	PPRM	Lot 2 & GIZ		
40	41	Need for a computerised project data	2 nd IA	Moore Stephens Recommendation:	Medium			By end of			PPRM/ ICT			

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		system.		<p>Consider implementation of a computerised project data system. Once the process for project definition implementation and monitoring has been established, the PPRM needs to introduce a project management information system that will be a repository of all projects of the Secretariat.</p> <p>EY RECOMMENDATION:</p> <p>Recommendation:</p> <p>The computerised project data system be developed after the operational planning and monitoring framework has been fully developed and institutionalised.</p> <p>(Please refer to section 3.1.2 of the Mid-Term Report/2010 IA Roadmap).</p>			Computerised project data system developed and operational (Planning, monitoring and evaluation and resource mobilisation system)	June 2012	Lot 2 progress report	A- STE mobilised to design and develop prototype of SADC Information Management System (SIMS)		Lot 2 & GIZ
41	50	Lack of clear management structure.	2 nd IA	<p>Moore Stephens Recommendation:</p> <p>We recommend that a Senior Management Committee is established, which should meet on a monthly basis and be comprised of:</p> <ul style="list-style-type: none"> the Executive Secretary; each of the Deputy Executive Secretaries; and the Directors of each Directorate. <p>The Senior Management Committee should act as an advisory body to assist the Executive Secretary in the discharge of his duties.</p> <p>The overall function of this Committee should be to examine SADC's mission and to set objectives for the SADC Secretariat which are aligned to the mission. These objectives should be the starting point of the planning process and the basis from which all plans and budgets are made. It should also discuss and direct the operations of the Secretariat to help ensure that the objectives are met.</p> <p>We further recommend that minutes of senior management team meetings are prepared and circulated such that stakeholders can subsequently obtain information regarding significant decisions taken by the Committee.</p> <p>EY COMMENTS AND RECOMMENDATIONS:</p> <p>Comment:</p> <p>Management Team Committee comprising of all Directors, Deputy Secretaries and Executive Secretary was set up. However, clear roles and functions of this Committee have not been defined and established.</p> <p>Recommendation:</p> <p>EY reiterates the recommendation.</p> <p>(Please refer to section 5.1.2 of the Mid-Term Report/2010 IA Roadmap).</p>	Medium			Within 6 months			Management Team	
				<p>Comment:</p> <p>Management Team Committee comprising of all Directors, Deputy Secretaries and Executive Secretary was set up. However, clear roles and functions of this Committee have not been defined and established.</p> <p>Recommendation:</p> <p>EY reiterates the recommendation.</p> <p>(Please refer to section 5.1.2 of the Mid-Term Report/2010 IA Roadmap).</p>		1. Develop Management Operational Handbook. 2. Work with management regarding their roles and responsibilities.	Terms of Reference for Management Team		1. Approved TOR, 2. MT Handbook 3. Minutes of MT			Legal Unit
42	51	A study on the institutionalization of SADC National Committees was not seen.	2 nd IA	<p>Moore Stephens Recommendation: The SNC study should be undertaken as previously recommended.</p> <p>EY COMMENTS AND RECOMMENDATIONS:</p> <p>Comment:</p> <p>EY has obtained for review the Final Report (June 2007) of the Institutional Capacity Development Needs of the SADC Secretariat and SADC National Committees, issued by the GTZ. This report provides an analysis on the level of institutionalisation of SNCs. However, there was inadequate follow-up on the recommendations of the study and as at to-date, real value to be obtained by implementing SNCs as per Treaty is not appreciated by the MS. Consequently, it is unclear as to whether the SNCs still has their <i>raison d'être</i>.</p> <p>Recommendation:</p> <p>We recommend that SADC MS should review the whole governance framework in order to ensure that the basic concept of inclusiveness as provided in the treaty regarding the SNCs is not overlooked.</p>	High			Within 6 months			PPRM	
43	54	There is a lack of monitoring and evaluation of projects in the Secretariat.	2 nd IA	<p>Moore Stephens Recommendation:</p> <p>Responsibility for the overall monitoring of projects in the Secretariat against the strategic aims of the SADC needs to be assigned to the Director of PPRM. We recommend that the responsibilities of the PPRM could include:</p> <ul style="list-style-type: none"> co-ordination of incoming donor funds; identifying sources of funding for programmes; producing monitoring and evaluation reports; and reviewing contracts. <p>A PPRM Directorate incorporating all these functions would enhance monitoring of the Secretariat and would provide additional confidence to stakeholders.</p> <p>A joint system of monitoring of expenditure by both the operational Directorates and the Finance and Administration Directorate should be in place which should consider actual versus budgeted expenditure and allow the operational Directorate to receive real time access to full information.</p> <p>EY COMMENTS AND RECOMMENDATIONS:</p> <p>Comment:</p> <p>As already pointed out above, much focus should be provided on planning at a first stage and then on monitoring at a second stage.</p> <p>Recommendation:</p> <p>SS should develop an appropriate operational planning policy document and monitoring policy document detailing the monitoring framework. (See details in section 6.3.6.4 of the Mid-Term Report/2010 IA Roadmap).</p>	Very high		SADC Policy for the Strategic Management, Planning, Budgeting, Monitoring, and Evaluation (SPME) Enhancement in force	Within 6 months	1. Approved SADC Policy for the Strategic Management, Planning, Budgeting, Monitoring, and Evaluation (SPME) Enhancement, 2. Council decision (Record of CoM)	A-1. The Programme Management Committee meets regularly and monitoring of projects (Physical and financial is included on its agenda). 2. SPME Policy approved-CoM Decision 11 in the Council Record of March 2012. 3. The SADC Resource Mobilisation Strategy was approved.- CoM Decision 3 in the Council Draft Record of August 2012.	PPRM	Lot 2 & GIZ
44	55	The planning process is not clearly defined and lacks coordination.	2 nd IA	<p>Moore Stephens Recommendation:</p> <p>The planning process should include, but not be limited to:</p> <ul style="list-style-type: none"> Realistic input from the Directorates Identification and agreement of key performance indicators. Adequate systems to ensure that the plans made are actually implemented or that other actions could be implemented but are not covered in the plan are identified. Training of project personnel to prepare their own budgets to submit to finance for review. Filling the staffing gaps for positions of planning and monitoring officers within PPRM, who should coordinate strongly with each Directorate. Consideration of the guidelines for monitoring and evaluation. Integration of the control environment throughout the Secretariat. Currently, there is a focus on the Finance Directorate to implement all issues involving internal control yet this is an issue that affects all Directorates. Training for Directors on how to read the monthly management reports in order for them to assess the actual to budget variance on costs within their Directorates and its associated reasons to enable the Directorates to take more ownership of deliverables and figures. 	Very high	New planning and budget guide. Budget Week workshops.	Guidelines delivered to programme officers	Within 6 months	2012/13 Planning & Budget Guidelines	A-2012/2013 Planning and Budgeting Guidelines provides for the identification of quarterly performance targets by each Directorate. G - Guidelines developed and rolled out.	PPRM/ Budget & Finance	

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				<ul style="list-style-type: none"> •Evaluation of the best delivery method. Currently, many workshops are held as they do not take so much time to organise however, studies may be a better and more thorough type of evaluation but they require lots of time to organise to determine the level of expertise and often to hire consultants. •Increased linkage between the overall strategic direction and the operational planning of SADC. Currently, no studies are performed on the impact of variances of strategy and objectives. •Increased information from PPRM on what strategy is the best, what effect actions have on achievements of objectives and a cost/benefit analysis. •A budgeting process that forces people to consider strategy rather than the strategy driving the budget. The current budget period is short as there are a number of stages to it which exacerbates the problem as people hurry to strategise. This tends to lead to subsequent budgetary amendments. The current process where expenditure can be incurred and paid but not budgeted by diverting funds from other projects (bypassing the budgetary approval process) should be rectified. More flexibility is needed to change budgets at any time throughout the year within certain parameters. <p>EY COMMENTS AND RECOMMENDATIONS:</p> <p>Comment: EY noted the absence of a clear policy planning document. The main planning document being prepared is the revolving three years Budget Outlook Paper.</p> <p>Recommendation: SS should develop an appropriate operational planning policy document and monitoring policy document detailing the monitoring framework. EY recommends that the SS and the MS should consider review the RISDP and progress made to date and unpack a clear three to five years corporate plan. The corporate plan will be at strategic level and delimit the main areas of intervention and the timelines. It should also be accompanied by a clear planning policy guideline.</p> <p>(See details in section 6.3.6.4 of the Mid-Term Report/2010 IA Roadmap).</p>		Directors to present Annual Business Plans to FSC. ABPs will be within ceilings but detailed costing not presented.	FSC considers ABPs and Corporate Plan within ceilings but without detailed costings.		Minutes of FSC. Corp Plan. Annual Business Plans.	A - 2013-14 Budget Process is currently focussing planning process that first establishes the results framework		
									Active budget checking in Sunsystem	Activated the budget checker to prevent mispostings.		
							SADC Policy for the Strategic Management, Planning, Budgeting, Monitoring, and Evaluation (SPME) Enhancement in force		1. Approved SADC Policy for the Strategic Management, Planning, Budgeting, Monitoring, and Evaluation (SPME) Enhancement, 2. Council decision (Record of CoM)	A- SPME Policy approved-- CoM Decision 11 in the Council Record of March 2012. Sections 4.1 and 4.2 of this Policy document addresses this concern.		Lot 2 & GIZ
Pillar 3B Internal Audit Standards												
45	6.4.4	Four Internal Audit staff in SS is low, considering the increasing sophistication of the activities of the SS. The same coverage in terms of number of audits as FY 10 will not be sustainable if the internal audit manual is fully adhered to and a formal risk approach is adopted.	3 rd IA	The impact of adherence to the Internal Audit manual on the number of internal audits that can be performed in a year should be carefully assessed and expectations of management and the Audit Committee members managed upfront accordingly. The adoption of the Internal Audit manual and internal control questionnaire should be phased. A possible compromise is the use of in-house resources to focus on compliance audits and outsourcing of performance and IT audits.	High	1. Determine staff requirements. 2. Phase implementation of manual. Outsource as required.	1.Recommendations for staff requirements. 2. Phased implementation of manual. 3. Plan for outsourcing.	Nov-11	1.Staff analysis report. 2. Table showing phased features of manual. 3. Audit plan showing IT audit outsourced.	G - Staff analysis completed. Recommend additional Juniors and Interns. IT audit is outsourced. Implementation of manual is underway..	Internal Audit and Senior management	Lot 1
46	6.4.4	Review of working paper files revealed several improvement areas around file structure, missing documentation to enable the audit testing to be re-performed, formalisation of reviews.	3 rd IA	On full implementation of the Internal Audit manual, the above gaps will be addressed.	Medium	Phased implementation of Audit Manual	Working papers and reports are standardised	Immediate	Working papers and audit report	G - Implemented in recent audits	Internal Audit	
47	6.4.4	None of the members of the Internal Audit team are Certified Internal Auditors (Institute of Internal Auditors). Although this is not a prerequisite for the functioning of the Internal Audit function, securing of CIA qualification could be considered in the context of the implementation of the new Internal Audit manual and gradual adoption of leading practice methodologies. This will also drive adherence to the standards of the Institute of Internal Auditors within the Internal Audit team.	3 rd IA	SS to review its training policies to support officers who wish to secure professional qualifications and education which are relevant to their roles within the SS.	Medium	1. Officers enrol in CIA Programme 2. Support provided to Officers provides	1. Training policy; 2. Enrolment of Officers. 3. Support provided by SS	By 2013	1. Approved Training policy; 2.Enrolment documentation 3. Budget provided	A - Officers have enrolled in CIA programme, obtained study material and support from SS is being followed up	Internal Audit Senior Management	
48	6.4.4	Degree to which recommendations made have been satisfactorily implemented is not reported upon.	3 rd IA	Regular reporting of extent to which previous internal and external audit recommendations have been implemented should be prepared by the internal auditors and disclosed to management and the AC.	Low	To include the degree of implementation in future reports to AC	Reports submitted to AC, as well as progress reports on the implementation of the Internal Audit Function	Immediate	1. Approved matrix 2. Register of recommendations. 3. AC Minutes	G - Matrix of all outstanding recommendations of both internal and external audits is in use and submitted to Audit Committee	Internal Audit	
49	6.4.4	The following improvement areas to the draft internal audit manual were identified: No guidance given on sample sizes; No distinction made between design and operating effectiveness of controls; and No template for linking the following per process: risk description, risk assessment, controls, design effectiveness of controls, test strategy if applicable.	3 rd IA	Update the draft internal audit manual to incorporate the above. An example of a template to link risks, controls and testing strategy has been provided to the Head of the Internal Audit unit by the assessment team and should be tailored for the purposes of the SS and incorporated in the manual.	Medium	Add template in the Internal Audit Manual, ACL Sampling, Internal Audit Control Questionnaire Manual, Development of Risk Matrix	Template of: risks, controls and testing strategy, Internal control Questionnaires, risk matrix, working papers	Immediate	1. IA manual; 2. Audit Working Papers	A - ACL Sampling training completed and will be utilised on creditors audit. Internal Control Questionnaire drafted. Risk matrix to be used for creditors audit	Internal Audit	
Pillar 4 Procurement												
50	6.5.5	No implementation planning in place for rolling out of the manual, including the following: - Training needs has not been assessed; - Structure of the procurement team has not been determined; and - Manpower requirements of the procurement team have not been finalised to date.	3 rd IA	A careful assessment of the impact of adopting the new procurement manual on the manpower requirements of the procurement team, its organisation structure, and training needs should be assessed to avoid bottlenecks in the budget execution processes. The current procurement team should be strengthened as follows: - Extending the scope of the "Senior Officer: Procurement" to include the responsibility to do procurement for programmes as well; and - SS should consider including additional staff in the procurement team as follows: ▶ 1 additional staff at "Officer: Procurement" level to assist the "Senior Officer: Procurement" in his extended role ▶ 2 additional staffs at "Assistant Officers: Procurement" level to assist the 2 "Officer: Procurement"	High	Review Implementation Plan. Monitor establishment of PU. Monitor training. Monitor use of key procurement documents. Develop TNA Monitor PU structure vs workload. Develop TOR and Job Description Recruit Additional Staff in line with Council Approved Structure	SADC Secretariat procurement system (SADC procurement system includes legislation, structure, people, oversight and data) operating effectively and efficiently. TNA approved. Annual Procurement Plan effectively and efficiently implemented ToRs Staff Recruited	By 2012	Approved Implementation Plan. Approved TNA and Capacity Building Strategy and Training Plan Approved PU structure. 1. Approved ToRs/ Job description; Staff Records	G - Implementation Plan approved and guiding implementation. Development of Procurement Profile underway. Immediate focus is on establishing procurement structure and operationalisation of key procurement documents including Policy, Guidelines, etc. G - Training needs has been assessed G - PU structure approved G - Three Procurement staff (Senior Procurement Officer and two Procurement Officers) are in place. These are in addition to SADC Structure staff -- Brings the Procurement Officers to 4 plus Assistants.	Procurement	Lot 1
51	6.5.5	The duration of the publication of Procurement Notice in newspapers is mentioned neither in the Procurement Policy nor in the Procurement Guidelines.	3 rd IA	The publication of the Procurement Notice should be made for a reasonable duration to enable the widest participation possible.	Medium	NA	Duration of the publication of the procurement notice	Before approval of Procurement Guidelines by COM	Procurement Guidelines	G - Duration is appropriate. Choice of wide circulation publication and use of internet ensures reasonable duration and wide participation taking into account cost benefit.	Procurement	
52	58	There is a need for Standard Bidding	2 nd IA	Moore Stephens Recommendation:	High			To be			HR &	

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		Documents.		<p>The new procurement manual should include procurement policy guidelines and procedures with a complete set of Standard Bidding Documents. From these, Procurement Desk Instructions and manuals should be formulated. In particular, the new manual should require that tender evaluation criteria be clearly outlined in the tender publications. It should provide guidance for issuing instructions to tenderers and it should require advertising and publication of the successful tenderer to be undertaken.</p> <p>EY COMMENTS AND RECOMMENDATIONS:</p> <p>Comments:</p> <p>A Procurement Policy has been approved by the Council and a Draft Procurement Guidelines (including Standard Bidding Documents) has been prepared and will be submitted to Council in August 2011.</p> <p>EY Recommendation:</p> <p>The approved Procurement Policy be implemented by the SS.</p>				completed by April 2012	Procurement files/ records	G - Procurement Policy and Guidelines implemented. SBDs in use. Checklists and Flowcharts developed	Administration	Lot 1
53	59	A new procurement manual should be prepared. This will require training of those involved in compliance with procedures.	2 nd IA	<p>Moore Stephens Recommendation:</p> <p>We recommend that to maximise the understanding of the new procurement procedures, training workshops should be undertaken for all members of staff involved in procurement. We further recommend that the procurement section be separated from both the Administration and the Finance departments as it is not either. A new procurement manual should be prepared which should outline:</p> <ul style="list-style-type: none"> • precise details mentioning the type of information to be published according to the type of procurement to be undertaken; • precise details mentioning the methods to be followed for publication; • precise details including the information and documents to be provided with the invitation to tender; • details of IPOS procedures; • precise details as to the specification regarding selection and exclusion criteria, award criteria and evaluation criteria; • precise details detailing the measures regulating the circumstances and conditions of contacts between the contracting authority and the candidates during the submission period; • precise details outlining measures to prohibit contacts between the contracting authority and the candidates during the evaluation process; • precise details clearly setting out the obligation to comply with the principles of non-discrimination and equal treatment of all candidates; • precise details outlining provisions that guarantee equal access to all candidates; and • precise details outlining methods for adequate tender solicitation and advertising measures to ensure the broadest possible participation. <p>• the procurement section should be separated from the Finance and Administration Directorate so that it is an independent stand-alone Directorate in its own right.</p> <p>EY COMMENTS AND RECOMMENDATIONS:</p> <p>Comments:</p> <p>A Procurement Policy has been approved by the Council and a Draft Procurement Guidelines (including Standard Bidding Documents) has been prepared and will be submitted to Council in August 2011.</p> <p>However, no implementation planning is in place for rolling out of the Procurement Policy. Training needs have not been assessed.</p> <p>Recommendations:</p> <ul style="list-style-type: none"> - The approved Procurement Policy be implemented. - The Procurement team should be consolidated / strengthened and SS should consider including additional staff as follows: - 1 additional Officer: Procurement - 2 additional Assistant Officers: Procurement <p>The above will be necessary given the time and effort that will be required to comply with the new procurement manual (please refer to section 6.5.6 of the Mid-Term Report/2010 IA Roadmap for further details)</p>	High			To be completed by April 2012		See rec 50	HR & Administration	
54	60	Framework agreements for recurrent activities such as stationery should be developed.	2 nd IA	<p>Moore Stephens Recommendation:</p> <p>Framework agreements should be formulated to improve the efficiency of the procurement department. We also recommend that a cost benefit analysis of venues in Gaborone should be undertaken.</p> <p>EY COMMENTS AND RECOMMENDATIONS:</p> <p>Comment:</p> <p>The recently approved Procurement Policy addresses the need for Framework agreements and outlines the conditions for selecting this procurement method.</p> <p>Recommendation:</p> <p>The approved Procurement Policy be implemented (please refer to section 6.5.5 of the Mid-Term Report/2010 IA Roadmap)</p>	Medium			To be completed by April 2012		A-Procurement Guidelines and Standard Bidding documents approved -CoM Decision 17 in the Council Record of August 2011. Registration of suppliers and development of Supplier Database underway. Negotiation of framework contracts on Air Travel Services and Stationery are at advanced stages.	HR & Administration	
Recommendations pertaining to the specific objectives of the 2011 3rd IA.												
55	6.3.6.4	<ul style="list-style-type: none"> ▶ The Council is heavily involved in the yearly planning of the activities of the SS through the review of the three year rolling budget and the annual budget; ▶ Lack of linkages between the annual corporate plans and the detailed budget (Detailed Expenditure Estimates) making it very difficult to monitor progress of main actions programmed; ▶ There is lack of consistency on the understanding of terminologies being used in the detailed expenditure estimates; ▶ The unpacking of the corporate plans into defined programmes and detailed activities as well as sub activities is not properly defined; and ▶ The first progress report for the 10 months to January 2011 is for ICP funded projects only. It is also not aligned to the detailed budget (Detailed Expenditure Estimates) making it difficult to correlate the progress with the initial detailed budget. 	3 rd IA	<ul style="list-style-type: none"> ▶ The SS and the MS should consider review the RISDP and progress made to date and unpack a clear three to five years corporate plan; ▶ The SS should develop an appropriate operational planning policy document detailing the planning framework that has to be adopted regarding programming; ▶ The SS should develop an appropriate operational monitoring policy document detailing the monitoring framework; ▶ The above two documents will describe how to operationally unpack the strategic three to five year plans; and ▶ Training will have to be dispensed thereafter in order to get every stakeholders aligned on the how to plan and monitor programmes. 	Very high		Three/Five Year Corporate Plan	By end of September 2011	1. Approved Three/Five Year Corporate Plan; 2. Council Decision		PPRM	Lot 2 & GIZ
							SADC Policy for the Strategic Management, Planning, Budgeting, Monitoring, and Evaluation (SPME) Enhancement in force		1. Approved SADC Policy for the Strategic Management, Planning, Budgeting, Monitoring, and Evaluation (SPME) Enhancement in force; 2. Council Decision			
							Staff trained in Planning & Monitoring		Training reports			
56	7.3.1.3	<ul style="list-style-type: none"> ▶ Lengthy process for budgeting at two levels: Budget Outlook Paper level and the annual Budget/Corporate Plan level; ▶ Due to the current framework for the preparation of the Budget Outlook Paper and the annual budget/ Corporate Plan, current year progress in programmes is not factored in the following year budget. This is a significant flaw; and 	3 rd IA	<ul style="list-style-type: none"> ▶ Shift the budget outlook preparation process at the policy planning level; ▶ While maintaining the same agenda and objectives, this document will be reviewed every three years by the organs and should include a more comprehensive three year budget estimates which will provide to the MS a better appreciation of future programmes being implemented and their detailed financial implications; 	Very high		Budget Outlook preparation process shifted to policy planning	By end of September 2011	1. Approved SADC Policy for the Strategic Management, Planning, Budgeting, Monitoring, and Evaluation (SPME) Enhancement; 2. Council Decision	A- SPME Policy approved- CoM Decision 11 in the Council Record of March 2012 .	PPRM and Budget & Finance	Lot 1 & 2, GIZ

Serial No.	Reference in Mid-Term Report/2010 IA Roadmap	Improvement Areas	Source of Recommendation	Recommendations	RATING 2 – (Validity Assessment as per EY)	Required Tasks to address the Recommendation	Objectively Verifiable Indicator (OVI)	Timing of implementation	Data Source (Document/ Evidence for OVI Verification)	Status of implementation (September 2012)	Responsibility	Support by
		<p>► The three year Budget Outlook Paper consumes significant resources in terms of manpower required for its preparation and manpower resources from different directorates for its review and approval at organ level.</p>		<p>► With respect to annual budget, the SS will only be involved in an annual budget exercise which will start during month of October /November each year;</p> <p>► This allows the SS to prepare meaningful progress reports for the current year;</p> <p>► Formats of the policy corporate plan documents, the technical directorates' annual plan and the detailed expenditure estimates should be reviewed in line with linking the three documents thus enhancing implementation and planning.</p>								
57	6.3.6.5	Wastage of time and effort by the PPRM in the preparation of performance reports (Variance Analysis Report) which are based on unreconciled and unreliable figures	3 rd IA	With a view to enhance monitoring, produce more reliable reports and reduce wastage of time and effort by the PPRM, we recommend that the Senior Officer PPRM ensures that reconciled figures for a particular period are obtained from Budget and Finance before preparing performance reports.	High		Credible performance reports (Variance Analysis Reports), with reconciled Financial Figures.	Immediately	Variance Analysis Reports	A-- Preparation of the half yearly Variance Report is ongoing. B&F has assigned Finance Officers to assist the Directorates with budget preparation including the Variance Report for the first 6 month of the 11/12 financial year.	PPRM	
58	6.3.6.5	Minutes of the PMC meetings reviewed shows inadequate specific discussions on monitoring and implementation of programme activities by the different directorates.	3 rd IA	We recommend that there is adequate focus by the PMC on the monitoring and implementation of programme activities by the different directorates.	Medium		Programs implementation progress discussed regularly at PMC	Monthly	Minutes of PMC Meetings	A-1. The Programme Management Committee meets regularly and monitoring of projects (Physical and financial is included on its agenda).	Programme Management Committee	
59	5.1.2	Although treaty provisions require the Summit to meet at least twice a year, we observed that Summit is currently meeting once a year.	3 rd IA	The provisions of the treaty be enforced or the SS considers making revisions to the treaty on a 4 - 5 year basis to reflect the current practice.	Medium			Next Financial Year			Management Team	
60	5.1.2	The mandates of the SADC Management Team Committee and the roles and responsibilities of the Management Team are not currently defined.	3 rd IA	We recommend that the SS establishes the Terms of Reference of the SADC Management Team Committee defining the roles and responsibilities of the Management Team, properly.	Medium		Terms of Reference for SADC Management Team Committee	By end of December 2011	1. Approved ToR 2. Management Team Minutes		Management Team	
61	7.5.1	SS does not have an appropriate platform to log the specific actions to be implemented by the MS and those that have to be implemented/coordinated by the SS	3 rd IA	It is recommended that decisions and actions be included in the project monitoring tools that are being developed by the PPRM department and clearly identify actions to be taken/implemented by the SS as a coordinating body as well as action to be taken/by the MS.	High	Five Year Corporate Plan (as foreseen under SPME Policy) need to situate the responsibility of MS in contributing to SADC outcomes. 2012/2013 Business Plans of Technical Directorates and Corporate Plan to include a section on MS actions		Feb-12	2012/13 Corporate and Business Plan	Development of Medium Term Strategy and Five Year Corporate Plan deferred to FY 2013/14	Management Team	GIZ
62	7.5.1	<p>Although minutes of meetings of the different ministerial meetings exist, they lack clear reference to the RISDP.</p> <p>The agenda document, as well as the minutes of meetings which are being used as input in the different ministerial and technical committees, are not project geared and in certain instances, similar decisions/actions were being repeated in subsequent technical documents.</p> <p>The SS does not have an appropriate framework to properly log in decisions at the various levels, and a formal follow up process does not exist.</p>	3 rd IA	<p>A proper framework linked to the project implementation plan has to be set up.</p> <p>Decisions /actions of the different ministerial meetings should be clearly referenced to the RISDP and properly logged/compiled in a tracker in order to enable easy follow up.</p>	High		Register of Decisions /actions of the different ministerial meetings referenced to the RISDP	By end of December 2011	Register of Ministerial Decisions		Management Team	
63	7.5.2	The tripartite does not have a core cell to coordinate the ongoing activities. The coordination effort is currently being managed by the different secretariats/ commission in turn reflecting the chairmanship of the summit. Circulation of documents is not done in the most efficient manner and it is unclear on how the different decisions are being managed and followed up.	3 rd IA	We recommend that discussions over the setting up of a Tripartite Secretariat be engaged as soon as possible. This Secretariat will be responsible for follow-up on decisions of the Tripartite and coordination among the 3 RECs.	High		Discussion on setting up a Tripartite Secretariat	To be determined	Minutes of the Tripartite meeting		To be determined	