

JOINT SONGWE RIVER BASIN COMMISSION



INTEGRATED CAPACITY BUILDING PROGRAMME



Final October 2023

Acronyms and Abbreviations

AfDB	African Development Bank
CBS	Capacity Building Strategy
CCA	Climate Change Adaptation
CNA	Capacity Needs Assessment
CNM	Conflict and Negotiation Management
COA	Chart of Accounts
CoM	Council of Ministers
Commission	Joint Songwe River Basin Commission or SONGWECOM
Convention	Convention for the Establishment of Songwe River Basin Commission
CPR	Communications and Public Relations
DCCMS	Department of Climate Change and Meteorological Services
DDIPP	Detailed Design and Investment Preparation Project
EGECO	Electricity Generation Company
ES	Executive Secretary
ESCOM	Electricity Supply Corporation of Malawi
ESIA	Environmental and Social Impact Assessment
FEWS/FFEWS	Flood Forecasting and Early Warning System
FMM	Financial Management Manual
GEF	Global Environmental Facility
GIS	Geographical Information System
HRMAPM	Human Resources Management and Administrative Procedures Manual
HRSDP	Human Resources and Staff Development Plan
Hydromet	Hydrological and meteorological monitoring and information management system
ICBP	Integrated Capacity Building Programme
ICT	Information and Communication Technology
IFMS	Integrated Financial Management System
IUWM	Integrated Urban Water Management
IWRM	Integrated Water Resources Management
JSC	Joint Steering Committee
JTE	Joint Team of Experts
LNWBW	Lake Nyasa Basin Water Board
LS	Legal Services
M&E	Monitoring and Evaluation
MAWPB	Manual for Work Plan and Budgeting
MESI	Majiatua Engineering Services Ltd
MIS	Management Information System
MoU	Memorandum of Understanding
NWRA	National Water Resources Authority
O&M	Operation and Maintenance
OOP	Organisational and Operational Plan
PDAM	Procurement and Disposal of Assets Manual
PESTLE	Political, Economic, Social, Technological, Legal and Environmental
PPP	Public Private Partnership
PUCNA	Progress and Updated Capacity Needs Assessment
RBO	River Basin Organisation
RMS	Resources Mobilisation Strategy
RPC	Rusumo Power Company Ltd of Burundi, Rwanda, and Tanzania

SADC	Southern African Development Community
SCP	Stakeholder and Community Participation
SCPG	Stakeholder and Community Participation Guideline
SMART	Specific, Measurable, Attainable, Realistic, and Timebound
SONGWECOM	Songwe River Basin Commission
SPV	Special Purpose Vehicle
SRBDP	Songwe River Basin Development Programme
STCINRMSRB	Strengthening Transboundary Cooperation and Integrated Natural Resources Management for the Songwe River Basin (project)
SWOT	Strengths, Weaknesses, Opportunities, and Threats
TANESCO	Tanzania Electricity Supply Company
TDA/SAP	Transboundary Diagnostic Assessment and Strategic Action Plan
TMA	Tanzania Meteorological Authority
ToC	Theory of Change
ToT	Trainer of Trainer
TP	Training Programme
USD	United States Dollars
ZAMCOM	Zambezi Watercourse Commission
ZRA	Zambezi River Authority

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The ICBP was reviewed by the Joint Steering Committee of SONGWECOM who approved it and the Council of Ministers directed to implement it. The Secretariat and SWECO/MESI consortiums acknowledge the positive review of the JSC and approval and direction of the CoM to implement this ICBP. The Secretariat, therefore, appreciates the contributions of the CoM, JSC and officials of their line ministries and departments in the finalisation and adoption of the Integrated Capacity Building Programme for SONGWECOM.

Some capacity needs, capacity building strategies and training programs were developed from the final draft reports prepared by consultants for parallel assignments. These assignments are Diagnostic Transboundary Analysis and Strategic Action Plan (TDA/SAP), Flood Forecasting and Early Warning System (FFEWS), and Integrated Communication Technology (ICT), Management Information System (MIS), Geographical Information System, (GIS) and Resource Mobilisation Strategy (RMS), (ICT/MIS/GIS/RMS). The consultants or consortiums for these assignments are Bureau of Agricultural Consultancy and Advisory Services (BACAS); Ndika Engineers, JV Hydroc and Bacas-Sua; and, Impiger Technologies Private Limited, respectively.

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Executive Summary

The Integrated Capacity Building Programme (ICBP) for the Joint Songwe River Basin Commission (SONGWECOM) represents the commitment of the SONGWECOM and the riparian states of the Songwe River Basin, the Republic of Malawi and the United Republic of Tanzania, to develop it into a well-resourced joint transboundary water resources cooperation and investment institution with capacity to carry out its mandate and responsibilities including implementation of the Songwe River Basin Development Programme (SRBDP) and its infrastructure operations and maintenance. This ICBP report is a consolidation of three studies commissioned by the Secretariat through a “Capacity Building for SONGWECOM” assignment. The studies are a diagnostic Capacity Needs Assessment (CNA), a Capacity Building Strategy (CBS), and a Training Programme and Manual (TP). The capacity building assignment is part of the project Strengthening Transboundary Cooperation and Integrated Natural Resources Management for Songwe River Basin (STCINRMSRB) funded by the Global Environment Facility (GEF) and the African Development Bank (AfDB).

The transboundary Songwe River channel of 200 km, forms part of the riparian states’ shared border, as it flows southwest into northern Lake Malawi/Nyasa. In 2017, the two states signed the Convention for the Establishment of the Songwe River Basin Commission (Convention) which later came into force on July 01, 2018. The Convention paved the way for cooperative water resources management and development in priority investment areas - including construction, operation and maintenance of dams, hydropower plants, irrigation and water supply schemes, flood protection, river training, and social infrastructures.

The ratification of the Convention established three institutional entities of SONGWECOM: the Council of Ministers (CoM), the Joint Steering Committee (JSC), and the Secretariat. The secretarial office was set up in Kyela, Tanzania and its capacity building was identified as an instrumental priority to fulfil the potential and promise of the Convention. This led to the need to develop the ICBP as an instrument for capacity building not only for the Secretariat but all the SONGWECOM institutional entities.

The ICBP has been developed with identification of capacity needs, capacity building strategies, interventions, and training needs and programmes that can realise the opportunities defined and agreed in the 2015 SRBDP. The SRBDP encompasses, among other, proposals and designs for dams, irrigation, water supply, flood control and associated infrastructure developments and services. The SRBDP investments address basin-wide challenges of poverty, land degradation, and climatic disaster risks such floods, as well as leveraging the potential of the basin’s natural resources and scenery.

At an institutional level, the CNA found that the SONGWECOM urgently needs to build capacity to perform its core functions, mandates, roles, and responsibilities. The Convention calls for SONGWECOM and its entities to act as an independent and autonomous river basin organisation (RBO). However, the mandate of the CoM, JSC and the Secretariat was not specified at ratification. The Convention also lacks principles and legal provisions for

SONGWECOM to construct, own, operate and maintain water infrastructures, sell electricity, and water, or run irrigation and water supply schemes and associated services.

The three SONGWECOM entities (CoM, JSC, and the Secretariat) have had teething challenges, such as underrepresentation of ministries and departments, and understaffing of the Secretariat with an acting Executive Secretary (ES) and seconded and project staff with divergent tasks. In the JSC, the ministries of finance are not represented and inadequately represented by one District Commissioner from each country representing the local government ministry instead of directors of local government. This has weakened SONGWECOM's autonomy and blurred roles and responsibilities on progressing key investments, such as the development, operation and maintenance of dams and associated infrastructures etc.

The 2022 Human Resources Management and Administrative Procedures Manual (HRMAPM) attempts to address these shortfalls. As of 2023, the shortages of staff and core functions of SONGWECOM means that implementation of the HRMAPM has been limited. The manual itself does not address lack of adequate staff to perform core functions of the SONGWECOM.

The CNA confirmed five key areas of capacity need that needed addressing for SONGWECOM to successfully achieve its purpose (Annex 1 provides the complete CAN). The key areas of capacity building for SONGWECOM were developed from a set of minimum capacity requirements identified in other well-established RBOs. They include the Zambezi Watercourse Commission (ZAMCOM), the Zambezi River Authority (ZRA), and the Rusumo Power Company (RPC). The CNA used a SWOT analysis (Strengths, Weakness, Opportunities and Threats), a Risk Matrix analysis, and a PESTLE analysis (Political, Economic, Social, Technical, Legal, and Environmental) and this combined analysis identified the following key areas of SONGWECOM's capacity needs:

- A. SONGWECOM's institutional establishment.
- B. SONGWECOM's operations for corporate services.
- C. SONGWECOM's operations for technical services.
- D. SONGWECOM's knowledge, skills, and experience development.
- E. District Councils operations and knowledge, skills, and experience development.

These five capacity areas were used to structure and inform the subsequent CBS and TP. The parallel studies identified, proposed, and authorised further capacity requirements. The findings of these studies reiterate the institutional capacity constraints investigated in the CNA that underscore SONGWECOM needs to improve:

- Knowledge, core capacities, and competencies to effectively carry out SONGWECOM's main functions and achieve its central objective of promoting cooperation in transboundary water resource management and facilitating investments in cross-border water resource infrastructure and services. This is the foundation for building technical capacity and competence in advancing Songwe River Basin transboundary cooperation, updating and implementing the SRBDP and operating and maintaining joint dams and other related

water resources infrastructure and services, including the FFEWS system. The capacity built should facilitate ensuring sharing and getting equal benefits from joint infrastructures and services under SRBDP and water resources related data and information and disaster risks warnings derived from modernising hydrometeorological monitoring and information management systems under FEWS.

- Awareness and core competencies in strategic planning, development, and management of water and related resources at the transboundary and basin-wide levels.
- Enhance knowledge and core capacities in developing bankable project proposals, mobilising resources, monitoring and evaluating projects, and collecting, analysing, interpreting, and presenting GIS-based data.

The ICBP is built on a Theory of Change (ToC) with a corresponding Results Framework. These ensure that interventions in the ICBP are aligned to a SONGWECOM common vision, objective, outcome, and output. The ToC identified the ICBP's overarching objective, to ensure a well-resourced SONGWECOM institution with capacity to carry out its mandate and responsibilities including implementation of the SRBDP and its infrastructure operations and maintenance. Informed by the ToC, the CBS (Annex 2) identified three overarching outcomes of the ICBP:

- Robust SONGWECOM corporate governance and management establishment that is self-supported technically and financially.
- Administrative, technical and management systems and tools in use and facilitating daily operations at SONGWECOM and underpinning participatory transboundary water management.
- Adaptive capacity to carry out SONGWECOM core mandates and SRBDP implementation.

To achieve the outcomes, the CBS defined and outlined a set of strategies and actions to build SONGWECOM's capacity that are in five capacity building areas (Figure 1). The scope of the capacity building areas and strategies are presented in the figure below and consist of:

- A. Strengthening SONGWECOM institutional establishment.
- B. Improving SONGWECOM operations for corporate services.
- C. Improving SONGWECOM operations for technical services.
- D. Strengthening SONGWECOM knowledge, skills, and experience development.
- E. Improving District Councils operations, and knowledge, skills, and experience.

Capacity Building Area	Scope
A. Strengthening SONGWECOM institutional establishment	SONGWECOM establishment reform Corporate governance and management structure Secretariat interim structure and human resources development Resource mobilisation and budgetary allocation
B. Improving SONGWECOM operations for corporate services	Stakeholder engagement and conflict management Financial management Human resources management Office resources
C. Improving SONGWECOM operations for technical services	Technical services systems and tools: a) equipment and infrastructure, b) technical manuals, guidelines and procedures, and c) roles and responsibilities
D. Strengthening SONGWECOM knowledge, skills, and experience development	Corporate governance and management orientation Work planning and budgeting training Project management training Technical capacity in transboundary water resources management areas Specialised professional training
E. Improving District Councils operations and knowledge, skills, and experience development	Operational manuals and guidelines District Councils operational resources Knowledge and skills in project and works planning, community engagement, and SONGWECOM and SRDBP projects

Figure 1. Scope of SONGWECOM capacity building areas

As a result of the ICBP, SONGWECOM will have:

- Functioning corporate governance and management establishment built.
- Financing sustainability in place with a designated office for resource mobilisation and allocation.
- Functioning SONGWECOM Trust Fund developed and commissioned following the roadmap in the ICBP.
- Established permanent SONGWECOM headquarter offices following the road map for the design, construction, and commissioning of the Secretariat buildings.
- Operational working manuals and guidelines in place at SONGWECOM and at target District Councils.
- Operational physical resources and assets in place at SONGWECOM and at target District Councils.
- Human resources capital and staff capacity gradually built in line with revised Human Resources and Staffing Development Plan (HRSDP), and initially with the current and updated 2022 HRMAPM and the expected Organisational and Operational Plan (OOP).
- SONGWECOM targeted District Council staff capacity in their responsibilities.

The Training Programme component of ICBP specifies how SONGWECOM personnel can acquire specific knowledge, skills, and experience through a comprehensive program (Annex 3 provides the complete TP).

In summary, the TP consists of:

- Training Programme for SONGWECOM entities (Council of Ministers, Joint Steering Committee, Joint Team of Experts, and the executive management team of the Secretariat) with designated training:
 - Corporate governance and management principles and practices.
 - Study tours to Zambezi River Authority in Zambia, Zambezi Watercourse Commission in Zimbabwe and Water Resources Administration for the South, ARA Sul, in Mozambique.
- Training programme for the Secretariat, with training on:
 - Technical knowledge, skills, and experience (key water resources management topics).
 - Corporate services knowledge, skills, and experience.
 - Project management knowledge, skills, and experience.
- Training programme for District Councils, with training on:
 - Stakeholder and community engagement and participation.
 - Work planning, budgeting, and progress reporting.
 - SRBDP and SONGWECOM projects knowledge.

A chapter on the ICBP Monitoring and Evaluation (M&E) framework guides the continuous assessment and improvements to capacity building strategies and training programme implementation. The M&E framework also outlines methods for data collection and verification, timelines, roles and responsibilities, a data analysis plan, and matrix reporting templates and dissemination plan for M&E.

The final chapter outlines implementation arrangements for the ICBP with roles and responsibilities and financing requirements among the SONGWECOM entities. The ICBP has been budgeted for three subsequent years of implementation using 2023 pricing. The preliminary total budget for full ICBP implementation is approximately USD 13.34 million (YR1: USD 1.38 million; YR2: USD 4.31 million; and YR3: USD 7.65 million, (Table 1). It is recommended that the budget is updated annually. Investment into the ICBP will be mutually reinforcing with SONGWECOM's pursuit of establishing the SONGWECOM Trust Fund as an important mechanism to support and finance the investments, such as the SRBDP, on behalf of the Republic of Malawi and the United Republic of Tanzania.

Table 1. Total budget for ICBP

Cost centre or description	Cost Estimates and Forecasts in USD			
	YEAR 1 Cost Estimate	YEAR 2 Forecast	YEAR 3 Forecast	TOTAL BUDGET Forecast
SONGWECOM institutional establishment	500,000	605,000	655,500	1,760,500
Physical Asset acquisition and maintenance	250,000	3,000,000	6,050,000	9,300,000
Financial and administrative management system	35,000	38,800	42,350	116,150
Training Programme	170,000	187,000	205,000	562,000
SONGWECOM Trust Fund establishment, technical assistance	300,000	90,000		390,000
TOTAL	1,255,000	3,920,800	6,952,850	12,128,650
<i>10% contingency</i>	<i>125,500</i>	<i>392,080</i>	<i>695,285</i>	<i>1,212,865</i>
TOTAL BUDGET	1,380,500	4,312,880	7,648,135	13,341,515

1-BACKGROUND

1.1 ICBP Context

1.1.1 Objective

The Joint Songwe River Basin Commission (SONGWECOM) has decided to advance its capacity in fulfilling and implementing its mandate and responsibilities through adopting an Integrated Capacity Building Programme (ICBP). The role of the ICBP is to outline a roadmap for SONGWECOM to build its capacity so that the institution becomes an effective organisation with autonomy and authority to deliver on its purpose and that of the Convention for the Establishment of the Songwe River Basin Commission. The ICBP is equally instrumental for building the capacity of SONGWECOM entities and that of targeted District Councils to implement the Songwe River Basin Development Programme (SRBDP). This refers to the agreed framework for the development, implementation, operation and maintenance of the collaborative water resource infrastructures and services in the Songwe River Basin.

The ICBP formed part of a Capacity Building for SONGWECOM assignment under the project Strengthening Transboundary Cooperation and Integrated Natural Resources Management for Songwe River Basin (STINRMSRB). The STINRMSRB project started in 2018 and is supported with a USD 8.00 million grant from the Global Environment Facility (GEF) and the African Development Bank (AfDB). The Project's aim is to establish a favourable environment for construction, operations and maintenance of the SRBDP's water resources infrastructures and services and improving integrated natural resources and land use management in the basin.

1.1.2 Content

The ICBP is a consolidation of three preceding studies developed under the Capacity Building of SONGWECOM assignment. These studies consist of the Capacity Needs Assessment (CNA), the Capacity Building Strategy (CBS), and the Training Programme (TP). The CNA includes a detailed assessment of capacity needs of SONGWECOM as an institution, as well as assessment of capacity needs across SONGWECOM's areas of operations and technical mandates, alongside those of District Councils. The CBS includes detailed strategies with strategic actions and inputs to address the capacity gaps identified in the CNA (i.e., required knowledge, skills, experience, and physical resources). The TP outlines the specific training programmes, instructions, and training manuals and guidelines that will comprehensively build SONGWECOM's capacity.

The ICBP outlines suitable arrangements and budget for its implementation, and an M&E Framework guides how capacity building activities can be assessed continuously to ensure emerging needs are addressed. Development of capacity is an iterative, long-term process that will enable SONGWECOM to deliver on forthcoming financing, project cycles, opportunities, and challenges.

1.2 The Songwe River Basin

1.2.1 Basin characteristics

The Songwe River Basin is a transboundary basin covering 4,243 square kilometres across the Republic of Malawi and the United Republic of Tanzania. The river's main channel runs 200 km along the two countries' border before discharging into Lake Malawi/Lake Nyasa (Figure 2).



Figure 2. Songwe River at Mwandenga or Kasimulu Hills (upstream)

The basin spans seven districts. Two in Malawi, Karonga and Chitipa, and five in Tanzania, Kyela, Mbeya Rural, Ileje, Mbozi, and Mbomba (Tunduma Town Council). The basin physiography includes gorges and floodplains with the latter often flooding due to high and erratic rainfall. It is common that the Songwe River's main channel shifts across the floodplains of Lake Malawi/Lake Nyasa - thus shifting the territorial border between the two countries.

The Songwe River Basin is of strategic importance for both Malawi and Tanzania. The basin supports livelihoods, agriculture, and hydropower generation. The basin has unique natural beauty and is rich in natural resources (Figure 3). There is potential for high-value crops such as cocoa and other irrigated produce, especially in the volcanic fertile soils of the floodplains and surrounding areas. Both countries also experience the challenges and impacts of diminishing forest cover, loss of fertile soils, increased river sedimentation, severe and recurrent flooding, and poverty. Drivers, such as competition for land, overuse of wood for charcoal fuel, poor land husbandry practices, are exacerbating pollution and degradation of water and natural resources.



Figure 3. Natural resources in the Songwe River Basin

1.2.2 History of transboundary cooperation

During the 1980s, continued flooding and the need to stabilise the border between Malawi and Tanzania in the lower floodplains, where the river channel meandered, made the two countries engage more in transboundary cooperation. Early studies in the 1990s demonstrated that it was possible to control floods, mitigate flood disaster risks, and secure the border from continuous changes. The construction of dams and other infrastructures would attenuate floods whilst securing water for hydropower generation, irrigation schemes, and water supply - in turn enabling poverty reduction and economic opportunity. By 2003, Malawi and Tanzania had advanced their engagement with pursuing feasibility studies for dams, hydropower, and other water resource infrastructures. A series of pre/feasibility and detailed design studies of these infrastructure proposals followed. For example, the Detailed Design and Investment Preparation Project (DDIPP).

The DDIPP informed the 2015 SRBDP and delivered detailed designs of the Lower Songwe Dam and hydropower complex, associated irrigation and water supply schemes, river training, and flood protection works. The SRBDP's first phase of investments also included proposals for detailed design studies for the Middle Songwe Dam and hydropower complex, social infrastructure, and services to serve community needs, the Convention, and the 2015 Business Plan for establishing the SONGWECOM institutions and SRBDP implementation.

1.3 The SONGWECOM

In May 2017, the Republic of Malawi and the United Republic of Tanzania signed the Convention for the Establishment of the Songwe River Commission. The Convention was ratified later in 2017 and came into force on July 01, 2018, reflecting the two countries commitment to promote and realise shared opportunities from transboundary cooperation and joint management and development of its common water resources.

The Convention establishes the policy commitments of the two riparian states, which include:

- Sustainable ecosystems, water and related natural resources and environment development and management.
- Equitable utilisation, production, and generation of income from the sustainable exploitation of water and related natural resources.
- Continuously improving living conditions and quality of life among basin populations.
- Sustainable growth and distribution of “Population and Demography” in the basin.
- Establishment and maintaining effective and suitable governance, institutions, and policies for SONGWECOM.

Per the Convention, SONGWECOM’s function and purpose are:

- Assisting in gathering and processing information on any relevant matters to advise the two Parties as well as the ability to exercise any power or make any decision relating thereto as approved by the Parties.
- Deliberating and making recommendations to the two Parties on any interests of either state regarding water resources of common interest.
- Form committees and task forces, which will be empowered to look at topical water issues concerning the two countries, as may be required.
- Appointing consultants, contractors, and suppliers to assist with specific assignments as and when deemed necessary.
- Prepare and adopt its own rules and procedures.

The commitments of both riparian states in the Convention are in line with the 2000 Revised Protocol for Shared Watercourses in Southern African Development Community (SADC) and the 2011 Zambezi Watercourse Commission (ZAMCOM) agreement, both of which they have signed. But the Convention does not include all principles and policies of the Revised SADC protocol and the ZAMCOM Agreement. Neither does the Convention build upon or include inferred policy statements in the 2015 SRBDP Business Plan that have bearing on SONGWECOM’s institutional establishment. The 2015 Business Plan stipulates that SONGWECOM shall:

- Coordinate water and related resources development in the basin as prescribed in SRBDP.
- Advise the two states on matters relating to the sustainable management, conservation, development and utilisation of the water and related resources of the basin, requiring research and development to find the best solutions for the partner countries to adopt and implement.
- Own, operate and maintain dams, hydropower plants, irrigation, and water supply schemes, etc.

- Generate and sell power in bulk to the Electricity Supply Corporation of Malawi (ESCOM) in Malawi and the Tanzania Electricity Supply Company (TANESCO) in Tanzania.
- Sell water to water supply schemes and Water User Associations.
- Mitigate flood and drought disasters in the Songwe River Basin.
- Identify areas of cooperation related to Integrated Water Resources Management (IWRM) and Integrated Urban Water Management (IUWM) and align areas of cooperation with national and district level programmes.

Execution of the SONGWE mandate and ownership of assets are stipulated in the Convention. But the Convention does not articulate how putting in place the legal instruments or laws at national level is necessary for the enforcement of the Convention's articles and principles. In neither Malawi nor Tanzania does laws exist that legally authorise and direct the SONGWECOM comply with, compel or implement the principles of the Convention and implement SRBDP and its infrastructures and services' operation and maintenance.

1.3.1 The institutional architecture of SONGWECOM

The institutional structure of SONGWECOM consists of the Council of Ministers (CoM), the Joint Steering Committee (JSC), and the Secretariat. The composition and roles of these entities are summarised below.

The Council of Ministers (CoM) consists of not more than five Ministers or Deputy Ministers from each country's ministries responsible for water, lands (surveys and mapping borders), energy, irrigated agriculture, and local government. The CoM plays a crucial role in the governance of the Songwe River Basin's water resources and governance of SONGWECOM. The primary purpose of the CoM is to facilitate cooperation, coordination, and decision-making among the two riparian states. Its functions include policy development, decision-making, legal frameworks outlining rights and obligations of the states, institutional arrangements, among others. The CoM also acts as a platform for dialogue, negotiation, and cooperation, as well as conflict resolution.

The CoM's overall mandate and functions are, per the Convention Articles/paragraphs 1.2.2 and 1.2.3, to:

- Provide overall oversight for the SONGWECOM.
- Make policies and decisions and provide other necessary guidance concerning the promotion, support, cooperation, and coordination of joint activities and projects.
- Decide any other policymaking matters and make decisions necessary to successfully implement the Convention.
- Receive, consider, and approve annual work plans and reports as well as approve the budget of the Commission.
- Entertain, address, and resolve issues, differences, and disputes referred to by any Council member, the JSC or any Party on the matters arising under the Convention.

The Joint Steering Committee (JSC) consists of ministries and departments representing the two countries in the Joint Steering Committee and are responsible for water resources, energy, irrigated agriculture, land surveys and mapping, energy, and local governments and their District Councils. Representations from ministries of finance for resources mobilisation or budgetary allocation in the JSC are missing.

The JSC plays a core role in informing and enacting the governance mechanism and functions set out by the CoM as prescribed by the Convention. The JSC management mandate is to guide the overall strategic direction, management, and operations of SONGWECOM. This includes, for example, steering the development of strategic plans and policies for CoM endorsement.

Specifically, the JSC responsibilities are to:

- Implement policies and decisions of the CoM and such other tasks assigned by the CoM.
- Formulate and recommend development programs for approval by the CoM.
- Confer Development Partners directly or their consultative group(s) to obtain financial and technical support necessary for projects/program implementation.
- Provide oversight over construction and maintenance of all infrastructure under SRBDP.
- Provide oversight over operation of hydropower plants and maintaining the dam and other infrastructures works and services.
- Carry out appropriate studies and assessments for the protection of the environment of the Songwe River Basin and facilitate the implementation of water resources development projects.
- Assign tasks and supervise the activities of the Secretariat.
- Receive and approve programmes, training for IWRM, human resources and staff development plans and reports, annual work programmes and plans, budgets, and technical and progress reports.
- Make recommendations to the CoM for approval of organisational structure modifications and Secretariat restructuring.
- Provide necessary background information for issues and differences that may arise and are referred to the CoM.
- Review and approve studies for the personnel of the parties involved in Songwe River Basin activities.

Concerning the Secretariat and its staffing, the JSC shall with endorsement by the CoM:

- Establish general standards and guidelines for the management of the SONGWECOM.
- Establish posts and determine the conditions of the employment of staff and adopt or amend staff regulations of the SONGWECOM.
- Give guidance to the Head of the Secretariat on implementation of CoM policy and decisions.

- Recruit and terminate senior staff of the Secretariat; and,
- Prepare the sessions of the CoM.

In addition, the JSC is responsible for recruitment of expatriates such as technical and administrative staff and consultants.

The Joint Team of Experts is a committee of officials that was set up by the CoM. The JTE consists of technical experts and/or heads of technical departments from each country responsible for water resources, land surveys and border mapping, energy, and irrigation services. The JTE has been incorporated into the ICBP on the basis that they provide technical services to and should be considered as part the governance and management structure of SONGWECOM.

The Secretariat, under the direction of the CoM and JSC, conducts SONGWECOM's functions and activities under the leadership of the Secretariat's Executive Secretary (ES). The Secretariat should have an Executive Management Team (EMT) consisting of the ES, the deputy ES and three heads of departments. The Secretariat should have the technical and administrative staff required to deliver SONGWECOM's approved programme of activities and investments in water resources, irrigation agriculture, hydropower, natural resources, finance, and administration.

Building upon the Convention, the 2022 SONGWECOM Human Resources Management and Administrative Procedures Manual (HRMAPM) defines the organogram and posts of the Secretariat.

Per the Convention, the Secretariat shall:

- Carry out decisions and tasks assigned by the CoM and JSC under the direction of JSC with direct responsibility to the JSC.
- Provide management and technical services and financial administration.
- Prepare programmes, annual work plans and reports as required.
- Formulate the annual work program and prepare all other plans, project and programme, documents, studies, and assessments.
- Implement the annual work program approved by the JSC and in collaboration with District Councils and any relevant institution.
- Maintain and disseminate data and information on hydrology and water quality environment, Environmental and Social Impact Assessment (ESIA) and any other related areas.
- Manage daily the construction, operation, and maintenance of all infrastructures under SRBDP including flood warning hydropower, water supply and irrigations systems, dams, social infrastructure, and regularly obtaining and enabling the exchange of updated data and information.
 - Provide secretarial services for sessions of the CoM and JSC.

- Advise the JSC on all matters as may be directed by the CoM and JSC.

The responsibilities of the Executive Secretary are to:

- Leading and overseeing SONGWECOM's operations according to CoM and JSC directives.
- Submitting reports on the work and audited accounts to the CoM and JSC.
- Ensure transparency and accountability as an accounting officer for the CoM.

By mid-2023, the recruitment of the permanent Executive Secretary and other staff positions was ongoing. Before, the interim Executive Secretary position and only some staff positions were filled. The Secretariat did not have staff for water resources, irrigation agriculture, hydropower, and natural resources management. Notably, the HRMAPM does not include staff for water resources management the core purpose and function of SONGWECOM. The HRMAPM is thereby not fully aligned with the HR and staff development plans of the 2015 Business Plan.

The assessment of the Secretariat's capacity showed that it does not have the adequate capacity to deliver its core purpose. The analysis also revealed a lack of delineation of responsibilities between three levels - the individual, organisation, and the institutional/enabling environment levels. This has led to overlapping mandates and a lack of clarity in who does what. Ambiguity is partly due to the lack of implementation of the 2015 Business Plan, and the lack of an Organisational and Operational Plan (OOP). Today, SONGWECOM is over-reliant on hired technical experts and seconded staff and JTE. Its autonomy and organisational efficiency are thus undermined, and the Convention's purpose is withheld.

The District Councils in Malawi and Tanzania have a mandate to work with the Secretariat and they are the focal points of service delivery of SONGWECOM social infrastructure and services projects. In 2023, the Secretariat was working with District Councils on the first and main project under implementation since adoption of the SRBDP in 2015, the STCINRMSRB project. STCINRMSRB activities include forest and natural resources management, catchment rehabilitation and protection, rural development, and education, in their designated geographical area of responsibility. The objective is to empower the District Councils, which will aid in the effective targeting of trainees and the development of relevant training programs for communities, as well as contribute to the implementation of SRBDP components aimed at benefiting communities in the basin. Overall, the District Councils have well-established governance structures and mechanisms. Yet, SONGWECOM lacks such type of governance and management mechanisms and have inadequate procedures and resources to advance the Commission's cause and projects at district level. This is largely due to District Councils' lack of adequate finances and technical expertise in areas such as water resources development and management, social infrastructures and services operation and maintenance. The District Councils are key to understanding the responsibilities and functions of community participation as part of and key actors in delivering the SRBDP. Community involvement and implementation of interventions are central to activities such as catchment management and rehabilitation and operation of the various planned social infrastructure schemes and services,

including local water supply schemes and services for rural electrification, education, and civil defence during floods.

1.3.2 Other key stakeholders

At national level, SONGWECOM collaborates with other government ministries, departments, and agencies. These institutions can be implementers as well as contributors to SONGWECOM's efforts and investments to advance productive cooperation and development of transboundary waters.

The direct departmental counterparts for SONGWECOM are the Department for Water Resources (DWR) of the Ministry of Agriculture, Irrigation, and Water Development and the National Water Resources Authority (NWRA) in Malawi, and the Water Resources Division (WRD) of the Ministry of Water in Tanzania that in part, delegates mandate to the Lake Nyasa Basin Water Board (LNBWB).

In their respective jurisdictions of the Songwe River Basin, the DWR, NWRA, and LNBWB are responsible for water resources planning, development, management, and monitoring. They are also responsible for water allocations, issuing water rights and licences for abstraction and use.

Additional key departments include the Department of Climate Change and Meteorological Services (DCCMS) in Malawi, and the Tanzania Meteorological Authority (TMA) in Tanzania. DCCMS and TMA observe, monitor, and collect weather data, producing valuable information such as forecasts, rainfall & temperature data inputs to hydrological modelling. The other institutions, although not formerly recognised by SONGWECOM, are ministries of finance and departments dealing with financial and budgetary allocations for operations and financing public investments.

Across the above institutions, effective mechanisms for sharing hydrological, meteorological, and water quality observation data is critical for SONGWECOM's mission and operations - not the least for the purpose of flood monitoring and preventing loss of lives and assets, as well as for the productive use of water for hydropower and irrigation.

2- APPROACH, METHODOLOGY & THEORY OF CHANGE

2.1 Approach and methodology

The Integrated Capacity Building Programme (ICBP) was built using a stepwise and comprehensive processes which included those for diagnostic capacity needs assessments and analyses and the Theory of Change for capacity building. These best-practice processes for capacity building were chosen to build competence that contributes to the fulfilment of the Joint Songwe River Basin Commission (SONGWECOM) purpose and mandate.

The ICBP process began with an initial diagnostic capacity assessment and analyses during Capacity Needs Assessment (CNA) of SONGWECOM. The assessments and analyses identified capacity needs at SONGWECOM entities and distinct institutional levels in all and across separate technical fields. These levels were the institutional/enabling environment, the organisational, and the individual levels of SONGWECOM (Figure 4).

The assessment of the institutional/enabling environment for capacity building of SONGWECOM focused on the policy, legal and institutional reforms necessary for the institution to have its intended autonomy and independence in carrying out its mandate. Second, the assessment of the organisational level of capacity of SONGWECOM focused on the physical assets and the capacities, systems, and procedures for technical, administrative, financial and asset management functions. It also included assessment of the corporate leadership and organisational culture (practices and procedures). Finally, the assessment of the individual level of capacity at SONGWECOM focused on the needs for empowering and motivating members of the SONGWECOM entities, including the Secretariat staff as well as District Council staff to perform and deliver what is required of them. This includes building capacity with training to impart and improve knowledge, skills, experiences, attitudes, etc.

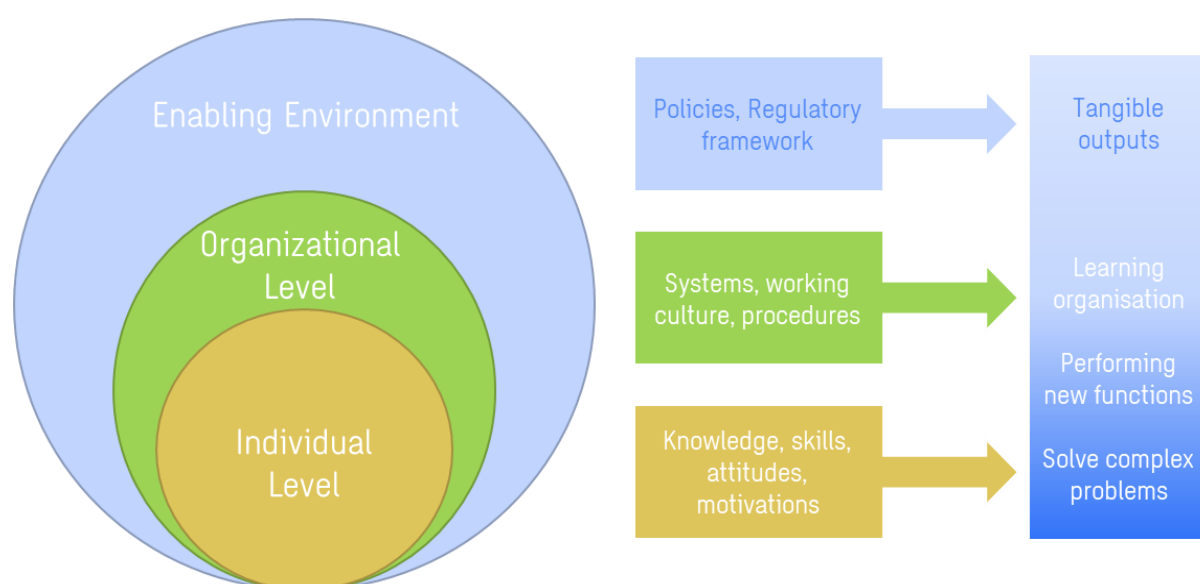


Figure 4. Levels of capacity building assessment & integrated pillars

To validate how critical the various capacity needs are in SONGWECOM, and to support an assessment of prioritisation among capacity needs, the CNA applied a set of analytical methodologies. These were SWOT analysis (Strengths, Weakness, Opportunities, and Threats), a Risk Matrix analysis, and a PESTLE (Political, Economic, Social, Technical, Legal, and Environmental) analysis.

The minimum prerequisites for building institutional capacity were derived from established and effective River Basin Organisations (RBOs) and transboundary Commissions, as well as entities overseeing shared water infrastructure, services, and investments. Insights and minimum capacity standards were extracted from successful organisations like the Zambezi Watercourse Commission (ZAMCOM), the Zambezi River Authority (ZRA), and the Rusumo Power Company (RPC). For instance, ZAMCOM boasts similar technical committees (ZAMTEC) and a panel of experienced senior officials, alongside a proficient and adequately staffed permanent Secretariat. Similar robust structures are evident within ZRA and RPC, featuring Councils of Ministers, Boards of Directors, and well-staffed management teams.

The development of the Capacity Building Strategy (CBS) and Training Plan (TP) was guided by the findings from the CNA and extensive consultations with stakeholders (further elaborated below). The CBS serves as a comprehensive set of action plans, delineating both tangible resources and intangible elements such as knowledge, skills, and experience. These plans are designed to empower SONGWECOM to effectively address the identified and prioritised capacity requirements of the organisation. By fulfilling these needs, SONGWECOM aligns itself with the overarching objective of the ICBP. Additionally, the TP outlines specific action plans geared towards enhancing the knowledge, skills, and expertise of the members and personnel within SONGWECOM entities, ensuring a holistic approach to capacity development.

2.2 Theory of Change

A Theory of Change (ToC) was meticulously crafted to provide a robust foundation for the ICBP by delineating what, where, why, and how of SONGWECOM's capacity development. Serving as a comprehensive roadmap, the ToC connects the program's objectives and outcomes with strategic actions, activities, training, and other inputs outlined in ICBP plans. This framework not only guides the implementation of capacity building interventions but also enhances stakeholders' comprehension of the logical and causal relationships vital for achieving the desired capacity within SONGWECOM. The vision statement of the ToC was agreed as: "A Songwe River Basin that continuously experiences improved quality of life among the local communities through sustainable use of basin resources while ensuring that economic growth rate is above population growth rate". The following long-term outcomes were identified as contributing to the realisation of the ToC vision:

- A well-resourced SONGWECOM institution with capacity to carry out its mandate and responsibilities including SRBDP implementation and its infrastructure operations and maintenance (i.e., the ICBP objective).

- Empowered SONGWECOM with capacity for construction, operating and maintenance of dams, hydropower plants, irrigation and water supply systems and other social infrastructures that should be functioning.
- An autonomous SONGWECOM with authority to contribute to poverty reduction, creation of wealth and paying dividends to the Governments of Malawi and Tanzania.

The development of the ToC resulted in the identification and evaluation of short to medium term outcomes under individual, organisational, and institutional levels of capacity building. These identified short to medium-term outcomes were:

- SONGWECOM staff with latest up to date knowledge, skills, and experience in their field of competence with working manuals and guidelines to be achieved through training, aided by working manuals and guidelines.
- SONGWECOM established staff of high technical, administration and financial management professional qualifications and experience through staff training and registration with professional bodies.
- Assets and administrative, technical and management tools in use and facilitating SONGWECOM work, through acquisition of physical and soft assets, including policy, legal and institutional development documentation.
- Well-resourced SONGWECOM with capacity to discharge its mandate and responsibilities timely, effectively, and efficiently when fully developed with all the capacities in place.
- Well established SONGWECOM corporate governance and management with a complete hierarchical management structure.
- The SONGWECOM Trust Fund established, financial and budget statements readily available & SONGWECOM self-supporting financially and technically.
- More than USD 1.04 billion raised for implementation of SRBDP and annually secured funds for SONGWECOM operations.

Alongside the ToC, the Results Framework for the ICBP was developed as part of the CBS which is presented in Chapter 4.

2.3 Consultations

Consultations were arranged and feedback was solicited throughout the development of the CNA, the CBS and the TP. Input on the drafted strategic actions of the CBS were solicited from the SONGWECOM entities, District Councils, and other key stakeholders. Contributions were also received from the Secretariat, line ministries associated with the Council of Ministers (CoM) and the Joint Steering Committee (JSC), the Joint Team of Experts (JTE), and focal points at the department and division of water resources management in the respective countries. They were also received from the seven District Councils, the Lake Nyasa Basin Water Board, the Tanzania Meteorological Authority, and the Department of Climate Change and Meteorological Services of Malawi.

Regarding involvement in SONGWECOM and SRBDP, consultations emphasised the importance of:

- Ministry of Finance involvement in the CoM and JSC.
- Engagement with the Electricity Generation Company (EGECO), Electricity Supply Corporation of Malawi (ESCOM) in Malawi and the Tanzania Electricity Supply Company (TANESCO) in Tanzania, as main participants in the SRBDP.
- Exploration of potential Public Private Partnerships (PPP) in the SRBDP involving actors such as EGECO, ESCOM, and TANESCO as electricity off-takers or organisations with concessions to operate and maintain hydropower plants as well as sales of electricity generated.

Specific feedback on the CBS concluded that:

- Training is important for CBS implementation.
- The political, diplomatic, and international development principles and practises related to SONGWECOM need to be included.
- Capacity building areas and strategies need to be streamlined to ensure credible verification of training outputs and outcomes.
- Strengthening hydrometeorological data and data security is important in addressing inadequate data gaps, as is addressing lack of corresponding government operations and maintenance capacity.
- There are challenges to data sharing without a Memorandum of Understanding (MoU), and where the custodians and/or agencies with legal mandate to collect, such data are not obliged to provide data and information to SONGWECOM.
- Capacity building lacks sufficient integration with the mandates, responsibilities, and functions of SONGWECOM entities and District Councils as they work towards implementing and supporting the SRBDP and the Strengthening Transboundary Cooperation and Integrated Natural Resources Management for Songwe River Basin Project.
- Resource mobilisation and associated capacity building was confirmed as a prioritised strategic action which needed to be emphasised in the CBS.
- The Ministry of Water in Tanzania is supportive of establishing a trust fund, as trust funds have been successfully established elsewhere.

3- CAPACITY NEEDS ASSESSMENT

3.1 Overall findings

SONGWECOM's Capacity Needs Assessment (CNA) utilised diagnostic assessments and analytical tools outlined in Chapter 2. It also incorporated lessons learned and minimum capacity building requirements from established transboundary institutions and river basin organisations (RBOs).

The diagnostic capacity needs assessment focused on three levels within SONGWECOM: the enabling institutional environment, the organisational, and the individual level capacities. This approach identified general and specific capacity gaps and needs. These shortcomings were then analysed and visualised using macro-level analytical tools, offering a comprehensive overview of SONGWECOM's capacity landscape.

The major capacity gaps and needs identified were:

- Inadequate SONGWECOM institutional establishment as an RBO, as well as transboundary river basin development and investment authority with autonomy in Malawi and Tanzania, as prescribed in the Convention.
- SONGWECOM's institutional establishment is incomplete, lacking proper corporate governance, organisational management, and operationalisation. Specifically, the Secretariat lacks defined responsibilities and functions at department level, as well as inadequacies in staffing, including the absence of a comprehensive human resources plan.
- The CoM and JSC lack representation from the ministries of finance, despite their influence in financial mobilisation for and financing of SONGWECOM operations and investments.
- The Secretariat lacks a structured corporate management setup, with undefined departments and their corresponding responsibilities and functions. Currently, there are limited established staff positions, with only the Executive Secretary expected to be recruited by 2023. While seconded staff and project-recruited experts offer some capacity, they provide limited technical services for the implementation of SONGWECOM's core purpose, responsibilities, and functions.
- The Secretariat operates with limited capacity, lacking proper technical, administrative, and financial management systems, tools, and procedures, contrary to the directives of the Convention, the 2015 Business Plan, and the 2022 Human Resources Management and Administrative Procedures Manual (HRMAPM). These documents emphasise the urgency to address inadequate staffing levels and develop essential systems, tools, and procedures to advance SONGWECOM.
- The District Councils supporting SONGWECOM operate with limited capacity, lacking sufficient technical, administrative, and financial management systems, tools, and procedures.
- SONGWECOM lacks sufficient capacity to fulfil its core purpose and mandate for transboundary water resources management cooperation, SRBDP implementation, and the

incorporation of Integrated Water Resources Management (IWRM), Integrated Urban Water Management (IUWM), and Climate Change Adaptation (CCA) principles and practices into its projects.

- The overarching concern is the inadequate capacity in developing and implementing financial mobilisation strategies which is furthering delays in SRBDP financing and implementation.
- To map capacity needs, assessments were conducted for each SONGWECOM entity to pinpoint distinct and overlapping mandates and functions. This analysis revealed instances of overlapping functions and mandates across the entities, as demonstrated in Table 2.

Table 2. SONGWECOM entities & their overlapping functions

	Council of Ministers (CoM)	Joint Steering Committee (JSC)	The Secretariat
Council of Ministers (CoM)	Overall control of SONGWECOM including: • Corporate governance control. • Approving policy, institutional and legal reforms. • Approval of annual plans, reports, and budgets. • Statutory and regulatory control. • SONGWECOM operations control. • Oversight functions for the JSC and Secretariat.	Corporate governance, directing and regulating Secretariat, including: • Policy, institutional and legal reforms • Work plans and budget approvals. • Statutory and regulatory management • SONGWECOM operations checks and balances. • Corporate governance.	
Joint Steering Committee (JSC)		Securing and recommending for approval of CoM and directing Secretariat in: • Policy, institutional, and legal reforms. • Annual and quarterly reports and budgets. • Statutory and regulatory systems and procedures. • SONGWECOM operations practices. • Other oversight functions over the Secretariat.	
The Secretariat	CoM and Secretariat capacity building areas • CoM and Secretariat record keeping. • CoM meeting management. • Fundraising and financial mobilisation. • Financial and budget control. • Review and drafting of policy and legal reforms, etc.	JSC and Secretariat capacity building areas • JSC and Secretariat record keeping. • JSC meeting management. • Fundraising and financial mobilisation. • Financial and budget control. • Review and drafting of policy and legal reforms, etc.	• Secretarial services to CoM and JSC. • Technical, administrative, and financial management. • Drafting and implementing policy, institutional, and legal reforms. • Preparing annual and quarterly plans, reports, and budgets. • Statutory and regulatory implementation. • Secretariat operations.
		Common capacity building areas for CoM, JSC and Secretariat • Corporate governance principles and practice.	

		• Branding and marketing SONGWECOM. • Improvement and maintenance of SONGWECOM good corporate. governance and management. • CoM and JSC meeting management.	
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3.2 Five areas of capacity needs

The Theory of Change (ToC) is the main tool for the development and implementation of ICBP. Supported by the findings of the CNA and refined during the CBS development, the ToC guided the identification of five distinctive capacity building areas. Each with associated strategies for targeted capacity building. The five areas are:

- A. Strengthening SONGWECOM institutional establishment.
- B. Improving SONGWECOM operations for corporate services.
- C. Improving SONGWECOM operations for corporate technical services.
- D. Strengthening SONGWECOM knowledge, skills, and experience development.
- E. Improving District Councils operations and knowledge, skills, and experience development.

Addressing all capacity building areas is essential for SONGWECOM's performance as failure to address any will affect the performance of all SONGWECOM entities. The capacity building areas are also both unique for different SONGWECOM entities and common across them (Figure 5).

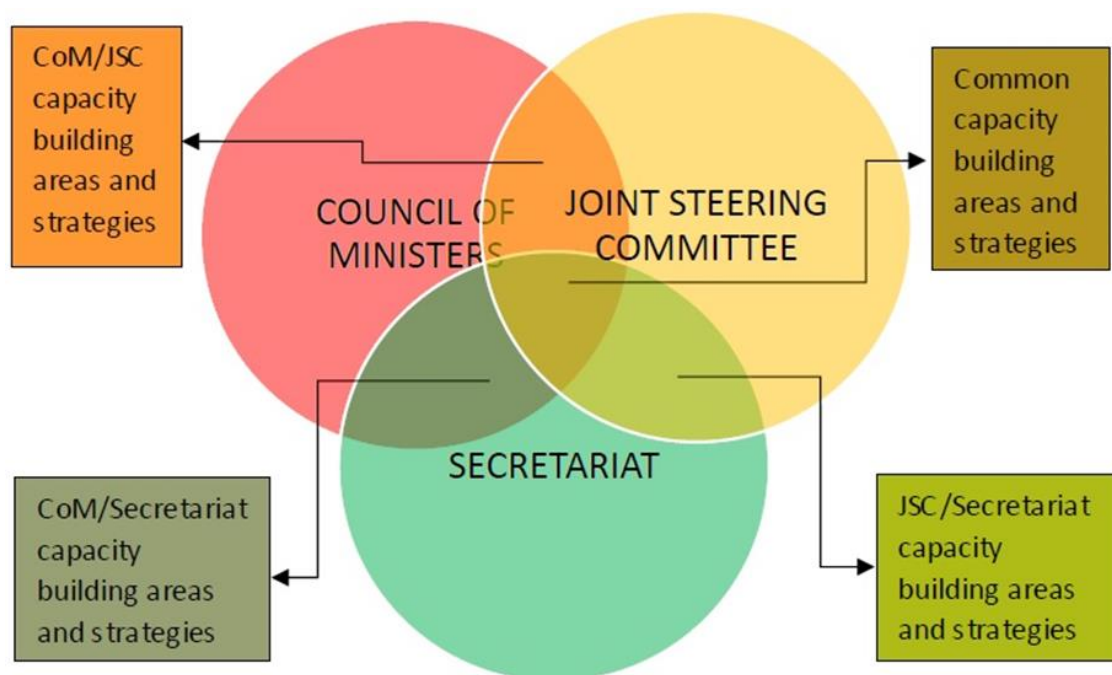


Figure 5. Individual & shared capacity building areas

A. Institutional establishment

Strong water governance frameworks and structures with clear division of mandates and functions are crucial for SONGWECOM to effectively address challenges and capture opportunities at the transboundary and basin levels. At national level, both Malawi and Tanzania have made progress by adopting new or revised laws, regulations, and/or policies in support of IWRM. At the regional level, both countries are also signatories to the 2000 Revised Protocol for Shared Watercourses in Southern African Development Community (SADC) and the 2011 Zambezi Watercourse Commission (ZAMCOM). Each of these transboundary legal agreements carry obligations and rights of the individual riparian state for the pursuit of transboundary cooperation and management of water opportunities and challenges. Therefore, SONGWECOM has potential to advance as an institution by cross-pollinating progress made in other transboundary engagement of the respective riparian states.

Overall, the minimum capacity building requirement highlighted the urgent need for reform of the policy and legal institutional frameworks of SONGWECOM.

These reforms are necessary to ensure that SONGWECOM has full legal personality (per the Convention, Article 3 clause 2). With policy and legal reforms, SONGWECOM would have to implement the organisational and operational plans (i.e., the 2015 Business Plan and its Human Resources and Staff Development Plan (HRSDP), the 2022 HRMAPM, and the overall SONGWECOM Monitoring and Evaluations framework). Strengthened implementation of the M&E framework would ensure continuous assessment and guidance for implementation of these plans and thus the vision and purpose of SONGWECOM and the SRBDP.

The key findings in strengthening SONGWECOM institutional establishment are:

- A comprehensive review and update of the policy statements of SONGWECOM and the Convention are needed to establish firm guidance and principles for the joint investments, ownership, and management of SONGWECOM infrastructures and services. In comparison to the 2000 Revised SADC Protocol and the 2011 ZAMCOM Agreement, the 2018 SONGWECOM Convention inhibits SONGWECOM in fulfilling its role in realising transboundary river basin development and acting as an investment authority.
- SONGWECOM's current legal provisions for joint river basin development and infrastructure investments in hydropower are limited when compared to the Zambezi River Authority (ZRA) of Zambia and Zimbabwe, and the Rusumo Power Company Ltd of Burundi, Rwanda, and Tanzania (RPC). The Convention needs to be strengthened to this effect to align with the legal frameworks of the latter transboundary institutions.
- The SONGWECOM entity structure requires revision and updating. As per the Convention, the Council of Ministers (CoM) is composed of not more than six members from each state, representing specific line ministries, but lacks representation from the ministries of finance. This lack of flexibility hampers the ability to address funding issues crucial for SONGWECOM's operations and investments. Furthermore, the Joint Steering Committee (JSC) representation from ministries of local government is limited to a single District Commissioner, posing challenges in effective representation of diverse local government interests and advocacy for the ministries.

- Financial constraints hinder the effective establishment of SONGWECOM. Strategies for financial mobilisation, however, are missing. Such a strategy includes the development of a Resources Mobilisation Strategy within corporate services with the support of CoM oversight (being developed under the study on Information and Communication Technology/ Management Information System/ Geographical Information System/ Resources Mobilisation Strategy, ICT/MIS/GIS/RMS). Prioritising financial mobilisation through for example soft and/or concessional funding, and involving the CoM in resources mobilisation, would enhance SONGWECOM's establishment. In the area of fundraising and budgetary allocation, the establishment of the SONGWECOM Trust Fund is also proposed to be integrated in the RMS. The justification is that SONGWECOM does not have its own mobilised funds and assets combined and managed to accelerate the implementation of the SRBDP and this is believed to cause delays in financing and implementation of SRBDP. The challenges of managing multicurrency-funded projects and other revenues bearing in mind currency fluctuations and transaction costs and the expected SONGWECOM assets of dams, hydropower plants, irrigation and water supply works etc., and revenue received from selling electricity and water could better be managed by a strong financial resources management plan and a Trust Fund.
- SONGWECOM suffers from the absence of an actionable Organisational and Operational Plan (OOP). An OOP would ensure clear corporate governance and management structures and procedures. Such OOP also defines and delineates responsibilities and functions of the CoM and JSC. The 2015 Business Plan for SONGWECOM outlines how to achieve such clarity, but much of the Business Plan remains unimplemented. For the JSC, for example, the Convention is not clear how and where the JSC has a supervisory and/or implementation role, and where those responsibilities are separate from those of the Secretariat. The JSC should act like a Board of Directors, supervising and directing the Secretariat rather than carrying out technical and administrative responsibilities and functions that should be done by the Secretariat.
- The SONGWECOM lacks appropriate and conveniently located headquarter premises and offices suitable for an international organisation. The Secretariat's offices in Kyela are temporary and are inadequate for accommodating the envisaged staff at the SONGWECOM headquarters. The offices in Kyela are also outside the basin and not easily reached by air, and far from Dar Es Salam and Lilongwe.
- The Secretariat lacks a corporate management setup. Roles and responsibilities of departments and their staff are not clear. Combined with a lack of established positions and staff, the departments are unable to sufficiently execute their role and activities. There is no Resource Mobilisation Department, which should be included in the departments to be identified during OOP and HRSDP development to strengthen the institutional capacity for resource mobilisation and project financing and implementation (identified in the concurrent ICT/MIS/GIS/RMS study).
- Targeted and expeditious recruitment is needed to staff the Secretariat with its core operational positions (with sufficient funding to offer reliable employment). The Secretariat relies primarily on seconded personnel and externally recruited experts and the

JTE. Existing staff have limited capacity to provide SONGWECOM's technical services. Most of the technical work performed is predominantly conducted by officials from the Malawi and Tanzania governments. These are officials who are assigned to work at the Secretariat, yet who report to their respective Directors in governments and members in the JSC. Ongoing efforts to recruit staff and the Executive Secretary have been slow.

- A comprehensive institutional Establishment Charter of SONGWECOM is needed to build upon the 2022 HRMAPM. Such a charter would involve a functional review and definition of staff positions and establishing appropriate conditions of service.
- A robust system for Monitoring and Evaluation (M&E) with key performance indicators, data collection, and reporting mechanisms is needed, building upon the existing M&E systems and efforts. This need is being addressed by an externally recruited M&E Expert and the on-going development of the M&E system and Information Management System (IMS).
- The target groups of SONGWECOM have interconnected functions and capacity building areas. The performance of one entity impacts the other, and SONGWECOM's overall performance.

B. Corporate services

The corporate services are the support services that enable institutional establishment function and its organisation effectively support provision of technical services (as described and presented in the section C. The Secretariat's day-to-day corporate operations and its strategic progress are undermined by the absence of the permanent Executive Secretary and entire Executive Management Team (EMT) for SONGWECOM strategic direction and control of its operations. SONGWECOM, through its Secretariat, needs to establish a robust corporate services directorate to support core business functions and protect SONGWECOM's image. This includes provision of financial and administrative services, procurement management; project management; legal services; information and communication technologies (ICT) management; SONGWECOM branding and strategic communication; and ensuring adequate physical offices and facilities.

The Secretariat urgently needs to prioritise the capacity gaps in **financial, administrative, and procurement management** systems and tools. The following tasks and procedures are inadequate or non-functioning.

- Financial regulatory controls with internal policies and procedures for managing SONGWECOM's finances.
- Disbursement arrangements with financial disbursement procedures and routines aligned to a Financial Management Manual (FMM) in addition to ensuring quick and timely disbursements.
- System of internal controls with directive, preventive, detective, and corrective controls.
- Chart of Accounts (COA) that segregates expenditures, revenue, and assets.
- The General Ledger (GL) to record accounts and transactions.

Although the 2022 Procurement and Disposal of Assets Manual (PDAM) is in place, procurement capacity lags modernisation because of:

- No online procurement instructions and guidelines through an e-Procurement Handbook.
- No online procurement and disposal of assets management system using e-Procurement system.

The findings of the capacity needs assessments in the final draft ICT/MIS/GIS/RMS study identified the additional capacity needs to strengthen corporate services:

- Streamlined fundraising procedures and processes requiring standardised fundraising methodologies and practices.
- Strengthened relationships with funding agents and investors that require establishing and maintaining strong bilateral relations through Malawi and Tanzania governments.
- Organised and well executed funding agents and investor engagement events, like donor conference, participating and show casing SONGWECOM projects at expos for investors, development banks/cooperating partners and donors.
- Developed and functional investors, development banks/cooperating partners and donors reporting framework for feedback and reactions to fundraising.
- Installed and functional Customer Relationship Management System (CRM); and,
- Developed and functional Resource Mobilisation Dashboard as part of the ICT-MIS-GIS system for better tracking resources mobilisation, record keeping and informed decision making in financial resources mobilisation and utilisation.

The diagnostic capacity needs assessment of the Secretariat's ability to deliver **project management** highlighted several gaps due to Secretariat infancy and challenges of both being supervisor and implementer in SRBDP implementation. This means the Secretariat cannot spearhead and provide adequate strategic project management leadership and technical oversight of all project management processes at SONGWECOM. Capacity gaps in project management are also linked to the Secretariat's dependency on officials from respective riparian countries. The Secretariat cannot successfully complete project management due diligence and reporting, as well as full tendering and contracting processes, without input from expert officials from the two countries who in parallel report to their government Directors and not necessarily the Executive Secretary.

The Secretariat lacks legal services and staff dedicated to managing **legal affairs and conflict resolution**. Consequently, SONGWECOM suffers from inadequate legal advisory services and protection, with no allocated positions for legal services in the 2022 HRMAPM. This absence of legal capacity hampers SONGWECOM's ability to effectively engage in negotiations and resolve conflicts, leaving the organisation vulnerable to external risks. Notably, the lack of financial commitments and disbursements to SRBDP investments since 2015 raises concerns about SONGWECOM's credibility. The absence of reputable legal services and legal protection also affects SONGWECOM's corporate image as an international entity, potentially deterring donors and investors from making commitments. These capacity deficiencies extend

to the absence of legal agreements, fulfilment of obligations for large-scale financing, management of environmental and social impacts, and handling risks associated with complex project financing, investments arrangements, and outsourcing services like Public Private Partnerships (PPP).

SONGWECOM, being a legal entity, requires the capacity to proactively prevent conflicts and defend itself from potential lawsuits as it advances transboundary water resources cooperation, joint investments, and benefit-sharing agreements between Malawi and Tanzania. It is crucial for the Secretariat to develop strategies aimed at preventing and mitigating conflicts before resorting to litigation. Additionally, arrangements should be made to access legal advisory services and protection when needed. Strengthening legal services capacity can be achieved through outsourcing or building in-house capacities and staffing. The approach may vary based on the evolving needs for legal services as SONGWECOM prepares for and engages in the extensive implementation activities of the SRBDP.

For all matters related to **Information and Communication Technologies**, the Secretariat relies on IT support from the respective riparian state line ministry for transboundary water management. This means that support is provided on a demand basis but is contingent on the availability of ministerial IT resources and support. However, due to its location in Kyela, the Secretariat is physically distant from ministerial headquarters, making access to on-site IT support challenging. The lack of ICT capacities and facilities poses risks to data loss and an obstacle to information and knowledge sharing. Neither does the Secretariat have the ICT capacity to develop and maintain a public website for SONGWECOM - which directly undermines the RBO's legitimacy, advocacy, and professionalism. Addressing this need has been outlined in the ICT/MIS/GIS/RMS study.

The Secretariat needs to strengthen SONGWECOM's **branding and strategic communication** activities. This includes an actionable communication strategy, dedicated staff, up to date and user-friendly website, social media presence and engagement, marketing materials, etc. Building a momentum for support and motivation among stakeholders and the public is important for SONGWECOM as a young RBO. To achieve such support and consensus, however, requires dedicated and strategic communication efforts. For example, for stakeholders at district, national and basin levels, communication is key to clarifying the role of SONGWECOM and the potential and coordination of the SRBDP. Towards development partners and financiers, advocacy, and communication on the legitimacy of SONGWECOM as custodian of SRBDP is also important. An example is investment conferences where projects can be discussed to solicit technical assistance and financial commitments.

The SONGWECOM needs **new headquarters with premises and offices located at appropriate new physical location** to accommodate the senior management team and the technical and administrative departments and their staff. Temporary offices currently used are inadequate for existing staff, let alone accommodating new staff and space needed for SRBDP implementation. With adequate equipment and services, the new office facility with individual offices and space for meeting, storage, and parking, would make day-to-day operations more effective. Full budgeting and planning for procuring these assets would need to be informed by

the OPP and HRSDP, that are expected to significantly update HRMAPM, as it is impractical to do such an assessment at present when the full staffing requirement is unknown.

The review of headquarters for previously established and functioning RBOs indicated that establishing the headquarters (HQ) site for SONGWECOM in Kyela may be convenient but not appropriate. There is need to relocate it to an appropriate location within or close to the basin in either Kyela District or Mbeya Rural District. Both locations have their advantages and disadvantages, outlined below.

Kyela District:

Advantages:

- **Proximity to the river basin:** Kyela District site would be located in the flood plain at a reasonable distance to project sites within the lower and middle part of the basin, making it convenient for fieldwork, data collection, and collaboration with local communities in the lower half of the basin.
- **Familiarity:** Facilitate better understanding of local dynamics, cultural nuances, and ecological challenges that are more complex in this part of the basin due to frequent floods and major irrigation and water supply schemes proposed.
- **Community engagement:** Proximity to the affected communities can make it easier to engage stakeholders and develop community-driven initiatives, particularly for the flood protection works and warning, responses and recovery from flood disasters and operation and maintenance of irrigation and water supply schemes.
- **Logistics:** Field trips and research-related travel within the lower half of the basin might be more efficient due to the shorter distance.

Disadvantages:

- **Infrastructure:** Kyela district has less developed supporting infrastructure and services needed in SONGWECOM operations compared to Mbeya, affecting the availability of necessary facilities and services.
- **International accessibility:** Kyela is located far from international flight options, potentially causing difficulties for staff and partners traveling from abroad.
- **Skilled workforce:** Attracting a diverse and skilled workforce might be more challenging in a location with potentially limited amenities and professional opportunities.

Mbeya Rural District:

Advantages:

- **Infrastructure:** Mbeya Rural district headquarters town of Mbalizi, a suburb of Mbeya City, has more developed infrastructure, including better accommodations, transportation, amenities, and communication facilities.
- **International accessibility:** Mbeya airport at Mbalizi has international flight connections, making it easier for international staff, partners, and stakeholders to reach the HQ.

- **Skilled Workforce:** Mbeya's urban environment might attract a more diverse and skilled workforce due to better availabilities of experts as and amenities for staff.
- **Services:** Availability of services such as banking, medical facilities, and educational institutions is better in Mbeya Rural district with Mbeya University within the reach of Mbeya Rural district headquarters which is a suburb of Greater Mbeya city.
- **Proximity to the River Basin:** Mbeya Rural District SONGWECOM office site would be located near the upper catchment in the vicinity of the upper half of the basin, making it more convenient for fieldwork, data collection, and collaboration with local communities, particularly water resources and catchment conservation, rehabilitation, and protection in the upper catchment.
- **Familiarity:** Being closer to the upper half of the river basin might facilitate better understanding of local dynamics, cultural nuances, and ecological challenges particularly water resources and catchment degradation and pollution that are more complex in this part of the basin.
- **Community Engagement:** Proximity to the affected communities in upper Songwe River Basin can make it easier to engage stakeholders and develop community-driven initiatives (involvement of water users), particularly in catchment conservation, rehabilitation, and protection.
- **Logistics:** Field trips and research-related travel within the upper half of the basin might be more efficient, particularly for water resources and catchment conservation, rehabilitation, and protection.

Disadvantages:

- **Distance:** Mbeya Rural, like Kyela, is farther from the center of the Songwe River Basin but some parts of the district are in basin. Mbalizi itself is outside the basin, potentially making field visits and engagement with local communities in the Lower half of the basin, more expensive and less convenient.
- **Cultural Understanding:** Being located farther away from the basin could present challenges in understanding local cultures and needs accurately, particularly in the flood plain area.
- **Fieldwork Logistics:** The additional distance might lead to increased travel time and costs for fieldwork and research activities within the lower half of the basin.

Given the international nature of the institution and the need for proximity to the Songwe River Basin, a hybrid approach strategy for SONGWECOM headquarter office is to establish the office in the Mbeya Rural district at Mbalizi but maintain a field office in Kyela District and have dam sites offices for operation and maintenance of the dams and hydropower plants.

Part of the strategic actions in relocating the Secretariat office is to address the physical office building requirements. The recommendations are:

- Soliciting and getting technical and financial assistance for design, tendering construction works, and construction supervision and construction works outsourced in identifying and/or constructing new premises.
- Feasibility and design studies carried out for site identification, selection, and acquisition in Mbalizi in Mbeya Rural District.
- The office site location criteria and guidelines and the size and number of buildings offices and facilities will be based on a thorough evaluation of the institution's goals, operational needs, and the number of staff and office equipment requirements determined from OOP and HRSDP.

The selected town is where the SONGWECOM headquarters should be established as discussed above. It can be iterated that SONGWECOM does not have technical and financial expertise and capacity to carry out feasibility studies for the relocation of SONGWECOM headquarters and its office buildings and facilities nor for the detailed design and construction of the office buildings and facilities. Technical and financial assistance need to be mobilised and outsourced in identifying and/or constructing new premises.

C. Technical services

The technical services are crucial for executing the core purpose and functions of the RBO for cooperation in joint water resource management and infrastructure and services development, operations and maintenance. Examples of these include:

- Basin planning and management, including the development and updating of basin management plans that address transboundary challenges and opportunities, and facilitate coordinated strategic actions and preparation of investments.
- Water resources monitoring and information management, which enables effective combination of collection, management, integration, and sharing of hydrometeorological monitoring data and information.
- Flood and drought management, where basin-level operating systems mitigate harm from floods and droughts, protect human life, assets, and the environment, and build resilience in transportation infrastructure and economic activity.
- Water infrastructure development and operation, where basin organisations can lead feasibility, detailed design, construction, and maintenance of water-related infrastructures.

For SONGWECOM, responsibility for technical services in the Songwe River Basin is shared among the relevant national ministries, departments, and agencies. All the above-mentioned services are responsibilities and functions of SONGWECOM, including joint water supply, flood control, irrigation, and energy provision services. The review of the Secretariat's mandate on technical services showed that there is a need to delineate the mandate of the Secretariat against those of the respective national entities. The main delineation is SONGWECOM's mandate to promote IWRM and implement projects addressing transboundary challenges (i.e., floods) and exploit joint opportunities (i.e., dams on the main river, sharing and distribution water and its services from its dams and main river, hydropower production, etc.). The

Secretariat, therefore, needs to manage the above including the following core competencies to deliver these technical services:

- Strategic Basin Planning and associated technical skills for effective coordination and realisation of sustainable and economic basin development and management.
- Research studies for executing the advisory role of SONGWECOM for sustainable basin development and management (including recommendations and solutions that support the governments of Malawi and Tanzania in their decision making and actions).
- Building and maintenance of formal mechanisms of coordination and communication between the governments, districts, and key stakeholders of Malawi and Tanzania to identify and align areas of cooperation across national and district level development programs within the basin.
- Project management services and skills for efficient planning, coordination, and achievement of project objectives, particularly SRBDP.

The Secretariat does not have core SONGWECOM business functions positions or staff responsible for transboundary water resources management cooperation and infrastructure and services development, operation and maintenance. Besides, there are no plans, manuals, or guidelines for technical services on this mandate for staff orientation, guidance and streamlining and harmonising their efforts in providing the above technical services.

These constraints hinder SONGWECOM in providing strategic direction and making progress transboundary water resources management cooperation and implementation of SRBDP. In lieu of in-house capacity in performing these responsibilities and functions and lack of competent and adequate staff, the Secretariat has options of contracting and outsourcing delivery of parts of or full infrastructure project cycle to third parties and/or through public-private partnership arrangements. This lack of capacity could also be compensated by consultants and contractors who would be solicited with the intention of operating and maintaining infrastructures once constructed. However, the Secretariat does not have formalised policies, plans, programs, etc., on such arrangements.

Overall, the CNA identified the Secretariat's major deficiencies in SONGWECOM's technical operations that include the following:

- Inability to effectively collect, analyse, and use data for advisory and other mandated functions due to lack of appropriate water and related resources monitoring and data and information collection, processing, archiving and dissemination systems, tools, and procedures.
- Inadequate or no technical capacity in the areas of transboundary cooperation, water resources management, dam and water resources engineering, irrigation and water supply and hydrology, water resources and meteorological monitoring and data and information management and related modelling.

- Inadequate or no plans for building capacity for performing functions and having resources in these areas vis-a-vis those already performed by ministries, departments, agencies (MDAs) and District Councils in the two countries.
- Unclear or no plans on and agreements with MDAs on provision of water resources (hydrology, meteorology, water quality, water abstractions and wastewater disposal, etc.) data and information services to the Secretariat. There are no exit plans or contingency on, for example, future joint investments under SRBDP would be done without depending on MDAs from partner countries and make SONGWECOM independent and autonomous as the Convention stipulates. There are also no plans for effective mechanisms of sharing data and information among the MDAs and national entities and with the Secretariat. A Memorandum of Understanding (MoU) between entities could facilitate the respective entity resources, roles, and responsibilities.
- No MoU that clarified roles and responsibilities in both technical functions and implementation of the SRBDP between MDAs and SONGWECOM. Implications of such MoU would have bearing on human resources arrangements (and potential re-examination and update of the 2022 HRMAPM and the 2015 Business Plan and development of OOP and HRSDP). For example, expertise needed to manage international relations, consultations, and advisory services to partner countries, environmental and social impact assessments and programmes, technical, scientific, and engineering services, etc.
- Inability to integrate IWRM, IUWM, and CCA principles and practices across ongoing projects. There is a lack of manuals, guidelines, and necessary knowledge, skills, and experience among staff at Secretariat and District Councils.
- Inadequate capacity in project management is a major constraint at SONGWECOM where projects take centre stage in the implementation of SRBDP. However, there are significant shortcomings in knowledge, skills and experience among existing staff and staff shortages contribute to complexity of human resources management and organisational inefficiency at SONGWECOM.
- Unpreparedness to or no capacity also threaten the successful implementation of the Strategic Action Plan, SAP, and other capacity building needs identified from parallel consultants on ICT/MIS/GIS/RMS and FEWS. The SAP prepared under the Transboundary Diagnostic Assessment and Strategic Action Plan (TDA/SAP) assignment has strategic actions relevant to SONGWECOM institutional, organisational, and individual capacity improvement. The implementation of SAP, therefore, is an opportunity to improve the Secretariat's overall effectiveness.

The following additional capacity needs were also identified under the TDA/SAP, ICT/MIS/GIS/RMS, and FEWS studies:

- GIS-based data collection, analysis, interpretation/presentation systems, tools, procedures, and associated knowledge, skills, and experience among SONGWECOM staff.
- Transboundary diagnostic analysis processes and methodologies knowledge, skills, and experience, among SONGWECOM staff.

- Environmental monitoring systems and familiarity with tools, procedures, and associated knowledge, skills, and experience among SONGWECOM staff.
- Proficiency in development and implementation of strategic technical planning systems and associated tools, procedures, and knowledge, skills, and experience among SONGWECOM staff.
- Monitoring and evaluation frameworks for strategic basin development plans and associated knowledge, skills, and experiences among SONGWECOM staff.
- Effective operation and generation of flood early warning systems and a profound grasp of the associated tools, procedures, and knowledge, skills, and experience among SONGWECOM staff.
- Proficiency in conducting post-disaster analyses of FFEWS to improve associated systems and mechanisms, and enhance protection of life, vulnerable communities, public and private properties, and livelihoods.

D. SONGWECOM knowledge, skills, and experience development

The assessment of capacity needs in the knowledge, skills, and experiences of the SONGWECOM entities uncovered all-encompassing gaps of capacity across core operational, organisational, and technical functions. The gaps in knowledge, skills, and experiences summarised below are linked to the capacity of SONGWECOM to deliver corporate and technical services (i.e., capacity areas B and C). However, the capacity area D is different because it puts the focus on the necessary knowledge, skills, and experience to deliver the said services. In this capacity area D, the CNA deciphered five sub-areas of functions where interventions are needed as part of the ICBP.

First, the CNA uncovered a significant capacity gap in the knowledge, skills and experience of both corporate governance and corporate management among the entities, from the CoM and JSC through to the executive management team, EMT, of the Secretariat and the Joint Team of Experts.

Second, the Secretariat lacks adequate knowledge, skills, and experience to perform and maintain annual work planning, budgeting, progress reporting, and training of the Secretariat's staff.

Third, the Secretariat staff have insufficient knowledge, skills, and experience to undertake planning, design, specifications, tendering, procurement, supervision, and commissioning of projects. Nor does the Secretariat have adequate capacity to train project managers in these areas.

Fourth, the SONGWECOM entities do not have adequate required level of knowledge, skills, and experience in the areas of IWRM, IUWM, and CCA.

Fifth, the Secretariat does not have adequate knowledge, skills, and experience to carry out annual staff appraisal, skills development planning, and facilitate professional training and certification.

E. District Councils operations and knowledge, skills, and experience development

The District Councils in both Malawi and Tanzania have structures for, and strong capacity in various sectors of natural resources management, rural development services, and rural and urban infrastructure development. In both countries, the Director of Public Works is mandated with infrastructure, rural and urban development. The Secretariat has existing relations and engages with the districts through the District Council focal points.

The District Councils have, however, inadequate financial and technical resources request and disbursement systems, tools, and procedures from SONGWECOM projects funds. Financial reconciliation formats are different from one district to another. A common work plan, budgeting and progress and financial reconciliation reporting needs to be developed.

The District Councils' financial management and administration capacities are established and staffed in all districts. The Secretariat, however, needs to introduce and orientate the District Council financial staff on the Secretariat's improved financial management system and operations. Such effort to build District Council financial staff's knowledge and skills would help align and harmonise systems and operations.

The District Councils need to strengthen their capacity in various technical areas needed to support SRBDP implementation at district level. The recruitment of critical vacant positions is therefore called for, coupled with coaching, training, and mentoring of staff involved in the SONGWECOM projects. The technical areas with capacity needs include: IWRM, community engagement, integrated catchment/natural resources management, and gender mainstreaming.

Documentation from District Council offices in Malawi and Tanzania indicate that districts have approved organisational structures in place. In all project-implementing districts, a coordinator or a team of officers are in place for project implementation. Most staff are university graduates (BSc/MSc) in fields related to the social sciences and/or agriculture.

The District Councils' participation and involvement in the STCINRMSRB project and the SRBDP is limited due to vacancies in almost all districts, and a lack of or low financial resources. To ensure a favourable outcome of the entire program, it is crucial to provide capacity-building to farmers and small-scale local business ventures through water user/farmer associations in both Malawi and Tanzania, enabling them to enhance their effectiveness in carrying out their activities.

4- CAPACITY BUILDING STRATEGY

4.1 Overview

The strategic actions were developed in consultation with key stakeholders who are also the target groups for the Capacity Building Strategy (CBS). That is the SONGWECOM entities of the Council of Ministers (CoM), the Joint Steering Committee (JSC), the Secretariat, and the Joint Team of Experts (JTE) as well as the District Councils. The CBS development produced scenarios and options, broken down by:

- Target group (i.e., CoM, JSC, the Secretariat, JTE, and District Councils)
- Capacity development areas, mandates, responsibilities, and functions for each target group.
- Justification based on capacity gaps and needs to be filled in each group to deliver mandate and fulfil responsibilities and functions.
- Capacity building scenarios and options for respective capacity building goals, outcomes, baseline, outputs, and strategic actions for each target group.
- Feedback and comments on scenarios and options from ministries, departments, agencies (MDAs), the Secretariat and District Councils.

Each scenario and option outlined in the CBS included specific strategic objectives, strategic actions, or activities, expected outputs, and proposed timelines for achieving the objectives and desired outcomes.

The development and updating of capacity building strategies is expected to continue throughout the development of SONGWECOM institution and SRBDP implementation. The full CBS can be found in Annex 2 and is summarised in this chapter.

4.2 Results Framework

The CBS scenarios and options were used in preparing a questionnaire, and for consultations, to solicit feedback and comments from SONGWECOM entities, District Councils, and key stakeholders. An outcome of the consultations and questionnaire was the development of the ICBSP Results Framework (Figure 6).

The objective of the ICBP was set as: to ensure a well-resourced SONGWECOM institution with capacity to carry out its mandate and responsibilities including implementation of the SRBDP and its infrastructure operations and maintenance.

Based on the objective, the CBS development identified and selected three main outcomes of the ICBP of SONGWECOM:

- Robust SONGWECOM corporate governance and management establishment that is self-supported technically and financially.
- Administrative, technical, and management systems and tools in use and facilitating daily operations at SONGWECOM and underpinning participatory transboundary water management.

- Adaptive capacity to carry out SONGWECOM core mandates and SRBDP implementation.

The main outputs of the ICBP were agreed as:

- SONGWECOM functioning as governance and management establishment built.
- Financing sustainability strategy in place with the operational office for resources mobilisation and allocation at SONGWECOM.
- Operational working manuals and guidelines in place at SONGWECOM and targeted District Councils.
- Operational physical resources in place at SONGWECOM and targeted District Councils.
- SONGWECOM human resources capital and staff capacity gradually built in line with the Human Resources and Staff Development Plan (HRSDP) but initially with the current and updated 2022 Human Resources Management and Administrative Procedures Manual (HRMAPM).
- SONGWECOM targeted District Council staff capacity is built in their responsibilities for supporting implementation of SONGWECOM mandate and responsibilities and SRBDP projects.

The above outputs will be achieved by implementing strategic actions in five capacity building areas (strategies) as represented in Figure 6 and through scope of work presented in Figure 7.

The main strategic actions or activities that will lead to the achievement of the above outcomes and outputs are:

- A. Strengthening Songwe River Basin Commission (SONGWECOM) institutional establishment.
- B. Improving SONGWECOM operations for corporate services.
- C. Improving SONGWECOM operations for corporate technical services.
- D. Strengthening SONGWECOM knowledge, skills, and experience development.
- E. Improving District Councils operations and knowledge, skills, and experience development.

The details of these main strategic actions are summarised in the following sections.

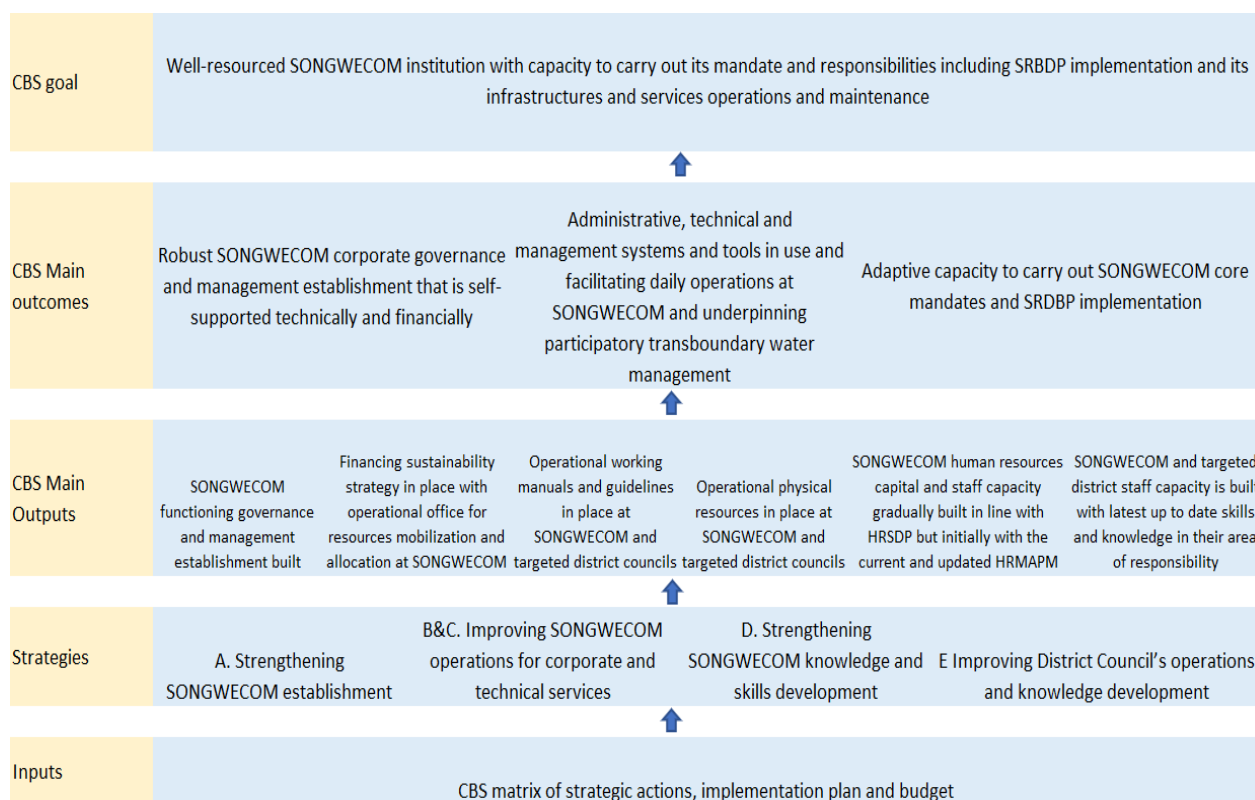


Figure 6. Theory of Change & Results Framework for the ICBP

Capacity Building Area	Scope
A. Strengthening SONGWECOM institutional establishment	SONGWECOM establishment reform Corporate governance and management structure Secretariat interim structure and human resources development Resource mobilisation and budgetary allocation
B. Improving SONGWECOM operations for corporate services	Stakeholder engagement and conflict management Financial management Human resources management Office resources
C. Improving SONGWECOM operations for technical services	Technical services systems and tools: a) equipment and infrastructure, b) technical manuals, guidelines and procedures, and c) roles and responsibilities
D. Strengthening SONGWECOM knowledge, skills, and experience development	Corporate governance and management orientation Work planning and budgeting training Project management training Technical capacity in transboundary water resources management areas Specialised professional training
E. Improving District Councils operations and knowledge, skills, and experience development	Operational manuals and guidelines District Councils operational resources Knowledge and skills in project and works planning, community engagement, and SONGWECOM and SRBDP projects

Figure 7. Scope of SONGWECOM capacity building areas

A. Strengthening SONGWECOM institutional establishment

The strategic actions strengthening SONGWECOM institutional establishment, addressing needs in capacity area A, are presented in Table 3.

Table 3. Strategic actions for institutional establishment (A)

Strategic Action	Input
A.1 SONGWECOM establishment reform including corporate governance and management structure	A.1.1 Draft and enact strengthened policy, legal and institutional reforms for strengthening SONGWECOM establishment
	A.1.2 Develop, adopt, and implement OOP, HRSDP, Business Plan, corporate M&E framework based on policy and legal reforms (incl. Charter)
	A.1.3 Decision on establish new headquarter offices of SONGWECOM
A.2 Human resources and staff development	A.2.1 Improve HR management and posts (with functional review) through HRSDP or updated HRMAPM and Charter
	A.2.2 Recruit qualified staff in line with the updated and approved HRSDP or updated HRMAPM and Charter
A.3 Resource Mobilisation	A.3.1 Finalise development of the RMS and adopt it
	A.3.2 Establish and operationalise SONGWECOM Trust Fund
	A.3.3 Seeking and mobilising financial resources, developing and leveraging Resources Mobilisation Dashboard and investor relations

A.1 SONGWECOM establishment reform

The capacity building strategy for establishment reform, including corporate governance and management structure of SONGWECOM (A.1). The reform comprises one of the most important strategic actions and entails strengthening SONGWECOM institutional establishment with a favourable policy, legal and institutional environment for its core purpose and responsibilities. These are transboundary water resources management cooperation and joint investments in dams, hydropower, irrigation, and water supply infrastructure, and other social infrastructure and services.

A foundational strategic action is ensuring alignment and adoption of relevant principles and specific provisions from the 2000 Revised Protocol for Shared Watercourses in Southern African Development Community (SADC) and the 2011 Zambezi Watercourse Commission Agreement (ZAMCOM) and strategic administrative plans in the 2015 SRBC Business Plan. These are principles and provisions or plans that would strengthen SONGWECOM's autonomy and legitimacy. It would also strengthen its legitimacy in joint investments, ownership, and management of SRBDP developed infrastructures and services (i.e., not captured in the 2017 SONGWECOM Convention).

To guide an updated Convention, the strategic action is to draft and enact strengthened policy, legal and institutional reforms for SONGWECOM establishment (A.1.1). To improve policies, it is necessary to consider reforms that encompass:

- Defining SRBDP implementation policies that include whether SONGWECOM will go alone, enter Public Private Partnership (PPP) arrangements for certain investments or engage a Special Purpose Vehicles (SPV) for specific SRBDP investments.
- Specifying the modus operandi of SONGWECOM operations delineating mandates and responsibilities vis-à-vis those that should not be SONGWECOM's.
- Making provisions for legitimising SONGWECOM joint water resources infrastructure and services' ownership of assets, sale of electricity and raw bulk water, and right to enter and work in the Songwe River Basin from at least two countries.
- Updating and adopting the revised SONGWECOM Convention.
- Facilitating the drafting and enactment of two similar acts in Malawi and Tanzania based on the updated SONGWECOM Convention and policies.

SONGWECOM institutional establishment strengthening capacity building strategies include the development and adoption of the following documentation and plans (A.1.2):

- Organisational and Operational plan (OOP).
- Human Resources and Staff Development Plan (HRSDP) to update HRMAPM.
- Updated Business Plan.
- Corporate Monitoring and Evaluation (M&E) framework.
- SONGWECOM Secretariat Establishment Charter.

The interim SONGWECOM management should draft the Terms of Reference and recruit a consultant for the development of OOP, HRSDP, Business Plan, M&E framework and associated SONGWECOM Establishment Charter. One comprehensive assignment for the development of all plans would cover all stages of SONGWECOM's institutional establishment and development and reduce the risk of misalignment. In the meantime, it is also recommended that the 2022 Human Resources Management and Administrative Procedures Manual (HRMAPM) should be used to strengthen the Secretariat with complete staff positions recruited by 2023 to keep the limited operations going.

The Secretariat's M&E functions should also be managed at the organisational, corporate level and clearly mainstreamed throughout operations and projects. This would ensure coherent measuring and reporting of progress. The roles and responsibilities M&E section and/or staff at the Secretariat should be clearly defined. A concerted M&E framework effort rest on M&E being embraced into the organisational culture and fully resourced.

The SONGWECOM Secretariat Establishment Charter is important for launching and guiding the operations of the SONGWECOM establishment (Secretariat/management). The Establishment Charter, therefore, needs to be prepared soon after the adoption of the OOP, HRSDP, Business Plan, and M&E framework. The Charter should be complete with details on how SONGWECOM will operate, recruit, manage, and compensate staff. This will include drafting and recommending responsibilities and functions of the executive management team, directorates, divisions, and sections, the staff/post list and their job descriptions, and conditions

of services. The output of strategic action A.1 is defined as a set of approved OOP, HRSDP, Business Plan and corporate M&E framework, and the Establishment Charter for the Secretariat.

The SONGWECOM headquarters relocation and establishment capacity building strategy action (A.1.3) is to secure CoM agreement on the new location for the SONGWECOM headquarter at an accessible, convenient location for SONGWECOM operations. The current options are to relocate SONGWECOM headquarters to Kyela or within the basin in the Mbeya Rural districts, considering the respective advantages and disadvantages discussed in section 3.2.

A.2 Human resources and staff development

The strategic action for strengthening the Secretariat through developing human resources and staff (A.2) starts with improving human resources management and posts (with functional reviews) through implementation of the HRSDP or updated HRMAPM, and Charter (A.2.1).

Based on the HRSDP or updated HRMAPM and the Charter, the parallel strategic action is to recruit qualified staff (A.2.2), taking into consideration shortcomings detailed below.

The HRMAPM outlines the Secretariat's improved human resources development and organisational structure with an updated organogram. The HRMAPM and proposed structure, however, need to reflect the SONGWECOM mission and core purpose and function of enabling transboundary water resources management cooperation and joint water resources infrastructure investment and development. To strengthen the Secretariat's executive management team (i.e., Executive Secretary, Deputy Executive Secretary, and heads of three departments), the HRMAPM needs to specify departmental responsibilities and functions with detailed and delineated staff positions with job descriptions (i.e., required qualifications, skills, and experiences). The Deputy Executive Secretary, for example, should have functional responsibilities in the HRMAPM with clearly assigned responsibilities. The Establishment Charter (strategic action under corporate governance and management structure above) will also address the capacity needs of SONGWECOM's structure and human resources.

The TDA/SAP has also identified recommended institutional reforms. They include establishment of an M&E department with staff responsible for implementation of all M&E activities at the corporate, organisational level; and establishment of a water quality and water assurance and water sediment monitoring divisions responsible for water and related environment management with technical staff as part of A.2.2.

A.3 Resource mobilisation

The key strategic action for resources mobilisation (A.3) is implementation of a Resources Mobilisation Strategy (A.3.1). The need for the RMS stems from the inadequate sourcing of funding and technical capabilities needed to implement the SRBDP and the ten-year programme of the 2015 Business Plan.

The study on Information and Communication Technology/ Management Information System/ Geographical Information System/ Resources Mobilisation Strategy for SONGWECOM (ICT/MIS/GIS/RSM) has recommended to establish a Resource Mobilisation Department to

Strengthen Institutional Capacity to handle resource mobilisation and project implementation with appropriate staff complement for management and implementation of RMS (A.3.1). The RMS will ensure SONGWECOM pursues a financial sustainability strategy that is supported by the Secretariat and is aligned with budgetary allocations. Fulfilling the RMS will strengthen SONGWECOM's ability to raise bilateral and external funds from development partners and investors, and future revenues needed to finance its institutional establishment, its corporate and technical operations, and the implementation of the SRBDP.

SONGWECOM may explore establishing a dedicated trust fund as a suitable, long-term, and programmatic financing vehicle (A.3.2). During the SRBDP Detail Design and Investment Preparation Project, the Financial and Economic Analysis of 2015 recommended a financing structure where SONGWECOM has a Special Purpose Vehicle (SPV) that shall be a semi-autonomous entity reporting to SONGWECOM in charge of resources mobilisation and asset management. A SPV is a legal entity commonly established for a single, specific, and often limited purpose – for example for a structured finance transaction, securitisation or for managing the risks of a certain asset. Once the specific objective of the SPV is achieved, the SPV is normally liquidated.

A trust fund, on the other hand, is a legal entity established to hold and manage assets for the benefit of beneficiaries, often long-term. Therefore, the trust fund mechanism is more flexible than the SPV. Although similar in intended tasks, a trust fund is thus the preferred financial mechanism for SONGWECOM.

Establishing the SONGWECOM Trust Fund would leverage benefits of pooling and consolidating funds and assets in a coherent and well-managed financial vehicle. Such streamlining of funds can build trust and efficiency in raising funds for the SRBDP.

The Concept Note for the SONGWECOM Trust Fund establishment will strengthen the Secretariat's capacity in securing preparation funding and soliciting the technical assistance. Technical assistance can support the Secretariat in analysing best practice and developing the core documentation and processes for establishing and operating the trust fund (i.e., governance structure, legal and corporate registration, financial management and reporting systems, investment prioritisation, communication, and resources mobilisation etc.).

The RMS (A.3.1) can inform and/or be adapted to serve as guidance for the strategic fundraising for the trust fund specifically considering that the fund would be the comprehensive financing mechanism for all SONGWECOM's projects and investments.

Following the RMS, and/or as part of trust fund fundraising, SONGWECOM must methodically grow its resources mobilisation as a continuous activity with an expected output target of more than USD 1.04 billion raised for the SRBDP.

To do so, the RMS consultancy specifically recommends strengthening investor relations and development of a resource mobilisation dashboard (A.3.3). The ICT/MIS/GIS/RMS study recommends that bilateral and multi-lateral relations with investors are strengthened by establishing and maintaining strong engagements with them. This can be done in a streamlined process of organising, conducting, attending, and showcasing SONGWECOM projects at

investor/cooperating partners and donor community engagement events, such as donors and investors conferences. Another study recommendation is to develop a reporting framework of investors, partners, and donors, for keeping and following up their engagement data and information. This would be complemented by development and installation of Customer Relationship Management System (CRM) and Resource Mobilisation Dashboard as part of the ICT-MIS-GIS system for better tracking and adding in informed decision making.

The Resources Mobilisation Dashboard will capture data and information on resources acquisition and mobilisation efforts and enhance SONGWECOM decision-making by facilitating review and analysis according to accurate and up-to-date real time information. It will also facilitate:

- Monitoring and reporting progress effectively through real-time view of key resource mobilisation metrics and indicators.
- Evaluate the effectiveness of various resource mobilisation strategies.
- Stronger relationships with donors by providing valuable insights about donor behaviour, preferences, and engagement levels, thus allowing SONGWECOM to tailor their outreach and communication efforts to effectively engage and retain them.

B. Improving SONGWECOM operations for corporate services

The strategic actions enhancing the capacity of SONGWECOM in corporate services, addressing needs in capacity area B, are presented in Table 4.

Table 4. Strategic actions for corporate services (B)

Strategic Action	Input
B.1 Development and updating manuals and guidelines for corporate services	B.1.1 Update, adopt and implement revised Communication and Public Relations (CPR) strategy including e.g., website, and production of marketing materials
	B.1.2 Develop, adopt, and implement conflict and negotiation management strategy
	B.1.3 Update, adopt and implement financial management systems and budget reporting procedures
	B.1.4 Carry out a SONGWECOM organisational and administrative management review and update administrative management rules and procedures
	B.1.5 Prepare, and operationalise manuals for leadership and organisational change management
B.2 Acquisition of operational physical resources for corporate services at SONGWECOM	B.2.1 Develop feasibility study and procure construction supervision services for new SONGWECOM offices and related facilities
	B.2.2 Procure design consultants and contractors for construct office buildings
	B.2.3 Determine, identify, and procure office equipment and inventory according to staff requirements

B.1 Manuals and guidelines for corporate services

To develop and update manuals and guidelines for corporate services (B.1), it is necessary to create and execute a communication and public relations strategy (B.1.1) that can enhance SONGWECOM's engagement with stakeholders and communities, as well as improve its

brand, raise awareness, and enhance its legitimacy. This strategy would assist the staff of the public relations office at the Secretariat in defining and outlining their communication and interaction with key stakeholders. It would also include strategies on soliciting investments and finances from investors and donors through investment forums and donor conferences. The aim of interacting with and securing investor and donor support through presenting a strong SONGWECOM brand, is to develop investment projects and solicit technical and financial assistance for investments. Branding further needs to include the management and dissemination of information about the Secretariat's services and products to and galvanising the motivation of stakeholders and the public to increase their interest in and support for SRBDP implementation. The strategy shall also cover crisis communication.

A conflict and negotiation management strategy (B.1.2) will also be developed and implemented to abet the likelihood of conflicting interests on development and utilisation of water resources in the Songwe River Basin. This will be a tool for SONGWECOM in providing advisory transboundary water resources management cooperation and sharing benefits from joint exploiting of opportunities in services as per the SONGWECOM's mandate to enable and ensure peaceful riparian relations between the two countries.

B.1 also includes the strategic actions for advancing financial management that requires updating, adopting, and implementing financial management systems and budget reporting procedures (B.1.3). The strategic action on these hinge on:

- Financial regulatory controls with internal policies and procedures for managing SONGWECOM finances.
- Disbursement arrangements with financial disbursement procedures and routines aligned to a Financial Management Manual (FMM) and ensuring quick and timely disbursements.
- System of internal controls with directive, preventive, detective, and corrective controls fully in place.
- Chart of Accounts (COA) with complete segregated expenditures, revenue, assets, and liabilities in coded accounting systems per cost centre for managing and accounting SONGWECOM finances and related assets.
- The General Ledger (GL) with complete and accurate bookkeeping records of all accounting transactions affecting each ledger account or cost centre and should have the capacity to support either the cash accounting method or the accrual accounting method.

Equally important and interdependent are successful procurement and disposal of assets capacity building developments and procedures based on and using the SONGWECOM Procurement and Disposal of Assets Manual (PDAM) approved in April 2022. Following PDAM, the Secretariat should pursue:

- Development and utilisation of a Procurement Handbook.
- Development and use of the e-Procurement system with the Accounting Software, Sage Evolution 200, that is a fully integrated business management application.

Capacity building strategies to improve corporate services operations would also include carrying out functional review for SONGWECOM institutional establishment. This will assess and analyse the adequacy, appropriateness and confirmation of the posts, job description descriptions and functions of the staff at the Secretariat. It will also include SONGWECOM organisational and administrative management review and update administrative management rules and procedures accordingly (B.1.4). Using the 2022 HRMAPM and later the OOP and HRSDP, the review should inform and update Establishment Charter for SONGWECOM. The charter will be complete with improved organogram, and departments with responsibilities and functions, posts, and the conditions of service. The conditions of services would include salary structure and scales, responsibilities, and functions of each post, with qualifications, skills, and experience of the professional as well as a code of conduct, benefits, and obligations, etc.

The final strategic action under development and updating manuals and guidelines for corporate services, is the preparation and operationalisation of manuals for leadership and organisational change management (B.1.5). This would include development and adoption of internal policy statements for building a common working culture, staff recruitment and selection tools, performance management plans, and staff training and development. The aim of this is to promote adaptive organisational change management that advances and maintain working culture and institutional core culture values for SONGWECOM to meet its challenges. It also entails developing routines for capturing of lessons learnt and exchange of best practices among departments to promote the required change management at organisational level.

B.2 Physical resources for corporate services

Acquisition of operational physical resources for corporate services at SONGWECOM (B.2) includes development of feasibility study and procurement of construction supervision services for new SONGWECOM offices and related facilities (B.2.1) as decided in the strategic action A.1.3, as well as procurement of consultants and contractors for design and construction of office buildings (B.2.2). Regularly determining, identifying, and procuring office equipment and inventory according to staff requirements (B.2.3) completes capacity building for operational physical resources to support corporate services.

A concerted effort is needed to ensure SONGWECOM has office premises that adequately accommodates the daily operations of the executive management team, departmental staff, and meeting and storage facilities of the Secretariat. In procuring design and construction services throughout, the strategic actions would ensure the Secretariat align needs with those of the HRDPM and forthcoming OOP and HRSDP throughout the SONGWECOM advancement to becoming a fully-fledged organisation. This is when it operates and maintains all the dams, hydropower plants, irrigation and water supply schemes and all physical and social infrastructures under SRBDP.

C. Improving SONGWECOM operations for technical services

The strategic actions for improving SONGWECOM operations for technical services, addressing needs in capacity area C, are presented in Table 5.

.

Table 5. Strategic actions for technical services (C)

Strategic Action	Input
C.1 Development of manuals and guidelines for technical services at SONGWECOM	C.1.1 Prepare, and operationalise technical management manuals, guidelines, and procedures for hydrometeorological monitoring
	C.1.2 Prepare, and operationalise technical management manuals, guidelines, and procedures for IWRM/IUWM and Climate Change Adaptation
	C.1.3 Prepare data acquisition and sharing responsibilities between SONGWECOM and national institutions and develop and adopt MoU for data and information exchange for hydrometeorology, flood and early warning systems and dam operations
C.2 Physical and operational resources for hydrometeorological services	C.2.1 Hydrometeorological monitoring network and data collection programme
	C.2.2 Establish water quality and sediment monitoring, sampling, and analysis system
	C.2.3 Establish strategic rainfall and weather stations in the basin
	C.2.4 Water quality assurance and control
	C.2.5 Water sediment monitoring

C.1 Manuals and guidelines for technical services

The first strategic action under capacity building of technical services involves the development and adoption of technical manuals and guidelines that advance transboundary water resources management cooperation and joint river basin development (C.1). The development and use of manuals and guidelines for technical services will guide SONGWECOM and the Secretariat's decision-making and planning on key water management challenges. As such, the recommended manuals and guidelines will have mutually beneficial impact on capacity on both the technical and corporate services of SONGWECOM. The ICBP and parallel studies have identified the following priority manuals and guidelines:

- Preparation and operationalisation of technical management manuals, guidelines, and procedures for hydrometeorological monitoring operations in support of critical climate information services including flood forecasting and early warning systems for the lower Songwe River and future dam operations (C.1.1).
- Preparation and operationalisation of technical management manuals, guidelines, and procedures for Integrated Water Resources Management (IWRM), Integrated Urban Water Management (IUWM), and Climate Change Adaptation (CCA), concurrently developed in the TDA/SAP study (C.1.2), building upon specific areas such as:
 - Development and utilisation of socio-economic, political, cultural protocols and guidelines for maintaining and advancing the transboundary water resources management cooperation.
 - Development of strategic river basin development and management plan that should be implemented by SONGWECOM and guide joint water resources development and management in the respective territories of Malawi and Tanzania in the Songwe River Basin.

- Development and utilisation of infrastructure operation and maintenance systems and manuals for dams, flood protection and river training works, irrigation, and water supply schemes, etc.
- Development and utilisation of hydropower operations and maintenance systems and manuals for hydropower plants, transmission or evacuation systems and water sharing procedures for hydropower generation.
- Preparation and adoption of MoUs with MDAs for operation and maintenance of hydrometeorological networks and data acquisition and sharing responsibilities between SONGWECOM and national institutions. The MoUs are for data and information exchange, particularly for flood forecasting and early warning systems, and future dam operations as well as applications such as water allocation and pollution control (C.1.3).

C.2 Physical and operational resources for hydrometeorological services

The strategic actions to boost the physical and operational resources for SONGWECOM's technical services in hydrometeorology (C.2) are informed by the final draft Flood Forecasting and Early Warning Systems (FFEWS) report. The FFEWS report outlines how the Secretariat can develop and maintain monitoring and information management infrastructure and equipment for flood forecasting and early warning grounded in strengthening systems for hydrometeorological monitoring and analysis.

All collected data and information under C.2 will be deposited and managed by hydrology and water resources information management system established at the Secretariat. Operation and maintenance of the hydrological and water quality monitoring and information management system will not be the responsibility of SONGWECOM. The respective MDAs in the two countries will be responsible in their part of the basin. The water laboratory and the FFEWS and its base station will be under the responsibility of SONGWECOM.

All underlying strategic actions discussed below, covers acquisition of operational physical resources for the technical services, supporting facilities, equipment, and infrastructures.

The strategic action for strengthening the hydrometeorological network and data collection programme in the basin (C.2.1), entails the following activities:

- Develop and integrate strategic hydrometeorological monitoring network of stations in the Songwe River Basin for river flow and levels, rainfall and related meteorological data water quality and sediment transport data. Alignment and integration of data with parallel monitoring and warning initiatives within Malawi and Tanzania are strongly encouraged (e.g., UNDP's Community Based Flood Early Warnings System in Malawi).
- Set up programme for data collection for river flow discharge and levels, rainfall and meteorological data, water quality and sediment transport samples and analysis (to be carried out by respective MDAs in Malawi and Tanzania).

For the establishment of water quality and sediment monitoring, sampling, and analyses systems (C.2.2), the FFEWS report recommends:

- Installation of automatic sampling station along strategic points along the Songwe River. This will be coupled with turbidity sensor to enable future estimation of sediment load from turbidity readings.
- Installation of appropriate sediment monitoring equipment and instrumentation.

For the establishment of strategic rainfall and weather stations in the basin (C.2.3), the FFEWS report recommends:

- Installation of six automatic rain gauges around the basin to assist in flood forecast and early warning systems.
- Installation of two automatic weather stations around the basin to assist in flood forecast and early warning systems.

For water quality assurance and control (C.2.4), the FFEWS report recommends:

- Development and introduction of water quality assurance and quality control procedures.
- Acquisition of water quality laboratory at Kyela.
- Acquisition of one land cruiser to handle all water related issues.
- Acquisition of boat for water quality sampling.

For water sedimentation monitoring (C.2.5), the FFEWS report recommends:

- Installation of automatic sampling station at Mwandenga station. This will be coupled with a turbidity sensor to enable future estimation of sediment load from turbidity readings.
- Installations of appropriate sediment monitoring equipment and instrumentation.

D. Strengthening SONGWECOM knowledge, skills and experience development

The strategic actions strengthening SONGWECOM knowledge, skills, and experience development, addressing needs in capacity area D, are presented in Table 6. The strategic actions primarily target members of the Council of Ministers (CoM), Joint Steering Committee (JSC), the Secretariat, and the Joint Team of Experts (JTE).

Table 6. Strategic actions for SONGWECOM skills (D)

Strategic Action	Input
D.1.Strengthening SONGWECOM CoM and JSC governance knowledge	D.1.1 Develop orientation kit in corporate governance and management for CoM, JSC, JTE and the Secretariat executive management team
	D.1.2 Conduct corporate governance and management orientation and study tour for CoM, JSC, JTE and the Secretariat executive management team
D.2.Strengthening SONGWECOM staff capacity with up-to-date knowledge, skills, and experience	D.2.1 Prepare training kit on annual work planning, budgeting and progress reporting and carry out training of secretariat staff
	D.2.2 Develop staff orientation kit and training material on project planning, design, specification, tendering, procurement, supervision, and commissioning and carry out training of project managers at the Secretariat
	D.2.3 Develop training kit and materials and carry out training on fundraising and resources mobilisation as per RMS

	D.2.4 Develop training kit and materials and carry out training on developing and conducting M&E training for all staff related to M&E activities at Secretariat
	D.2.5 Develop training kit and materials and carry out training on IWRM/IUWM/Climate Change Adaptation
	D.2.6 Develop training kit and materials and carry out training on water quality & sampling techniques, water laboratory analytical procedures and use of new instruments, and quality assurance measures and quality control techniques and procedures
	D.2.7 Develop training kit and materials and carry out training on training for station managers, department technicians, and data interpreters on the operation and maintenance of the hydrometeorological observation equipment
	D.2.8 Develop training kit and materials and carry out training on the standards and guidelines and use of the sediment monitoring and water laboratory equipment

D.1. Orientation of CoM, JSC, JTE and EMT members on corporate governance

The strategic action of building capacity of members and staff of the SONGWECOM entities, with up-to-date knowledge, skills, and experience (D.1) rests on a set of targeted training inputs. First one will be the development of an orientation kit in corporate governance and management and conducting orientation and study tours to other RBOs for the CoM, the JSC, and the Secretariat's executive management team, and the JTE (D.1.1 and D1.2). This will strengthen strategic directing and supervision of the Secretariat by CoM and JSC and performance of SONGWECOM in its operations and achievement of its goals. Strengthening staff's knowledge, skills in corporate governance and management through the Executive Management Team (EMT) of the Secretariat will also strengthen strategic directing and supervision of secretariat staff and improve performance of SONGWECOM in its operations and achievement of its goals and technical, human resources, administrative and financial management services at the Secretariat.

The orientation should be done as a group and as part of team building (also to boost team spirit) and include topics of political sensitisation and diplomacy in transboundary water resources management and joint venture investments, in addition to corporate governance and management.

As a result, these entities' knowledge, skills, and experience in principles and practises used in decision making, directing, and supervision of public organisations would be strengthened so they could effectively perform:

- Scrutiny, approval, and overseeing implementation of policy and legal provisions.
- Financing, financial and budget issues.

D.2. Staff knowledge, skills, and experience

To take stock of the progress staff makes in developing knowledge, skills, and experience, it is recommended that an annual staff appraisal and skills development planning is conducted (also facilitating specialised professional training and certification). Staff appraisals shall assess the performance of individual staff and progress and success of associated training as well as any acquisition of professional certification. Development of staff knowledge and skills shall include the specialised professional training required. Such training/certification should be

based on a policy stating, “no professional registration, no promotion,” ensuring that every staff member requiring professional qualification undertakes it. Staff who can acquire official registration/certification are expected to become supervisors and mentors for upcoming professionals, and to be registered or certified with recognised professional bodies.

Preparing a training kit on annual work planning, budgeting, and progress reporting and conduct training of secretariat staff (D.2.1) is the second strategic action for building capacity in SONGWECOM’s knowledge, skills, and experience development. Training will, for example, provide guidance on production of quality quarterly and annual SONGWECOM operations in timely manner. It will also include work planning, budgeting, progress reporting for project management and supervision reports in a timely manner. This training is a key factor to transparency, accountability, and the bankability of projects. Improved knowledge on work planning, budgeting and progress reporting is also necessary and justified by the inadequate management of SONGWECOM operations manifested by limited work plans and associated budgets and progress reports, with inadequate financial reconciliations.

An additional training kit is needed for project managers at the Secretariat to strengthen their management and procurement capacity to manage the full project and tendering cycles (D.2.2). That is, the training kit must cover conceptualisation, planning, pre-feasibility, feasibility, and detailed design studies, through to tendering, selection and contract negotiations, construction supervision, and management and commissioning of projects.

To strengthen knowledge, skills, and experiences for procurement processes and management, dedicated efforts need to be made to go together with the strategic actions to strengthen the corporate governance and management capacity of SONGWECOM. The approved 2022 Procurement and Disposal of Assets Manual (PDAM) should be used for training staff, as it should be obligatory for Secretariat staff to understand, use, and comply with the PDAM in procurement and disposal and management of stores or assets. The PDAM should be published online for open access. A Procurement Handbook should be developed as a tool to provide quick reference to procurement practices, rules, and regulations, ensuring compliance with regulation in Malawi and Tanzania and with international best practice. Staff skills in learning the e-procurement system Sage Evolution 200 should also be elevated.

Development of training kit and materials and carrying out training on fundraising and resources mobilisation as per RMS (D.2.3) will utilise the Resources Mobilisation Strategy in the final draft ICT/MIS/GIS/RMS report.

Training on M&E will involve developing training kit and materials and carry out training on developing and conducting M&E training for all staff related to M&E activities at Secretariat (D.2.4).

A dedicated training kit focuses on materials and modular training to improve knowledge and skills on IWRM, IUWM, and CCA (D.2.5). The kit and training should be produced and performed once the relevant technical staff are recruited. The training should be delivered as three modules, one for each topic, and once the correct relevant manuals have been developed and are ready for use.

For training on water quality (D.2.6), the relevant staff will be trained on water quality and sampling techniques and water laboratory analytical procedures and use of new instruments, and on quality assurance measures and quality control techniques and procedures.

It will be possible with the development of training kit and materials to carry out training on the above topics and on updating, and operation and maintenance of hydrometeorological monitoring network, operation and maintenance of the stations, equipment for station managers, department technicians, and data interpreters (D.2.7).

The last development of training kit and materials for technical services will be for and carrying out training on the standards and guidelines and use of the sediment monitoring and water laboratory equipment (D.2.8).

E. Improving District Councils operations and knowledge, skills, and experience development

The strategic actions improving District Councils operations and knowledge, skills, and experience development, addressing needs in capacity area E, are presented in Table 7.

Weaved into the strategic actions for improving staff knowledge, skills, and experience, in both capacity areas D and E, are hands-on training activities to address cross-cutting capacity constraints among Secretariat and District Councils staff. These capacity constraints are manifested at the institutional and individual staff levels. It is therefore beneficial to develop and deploy the training in conjunction, ensuring alignment in both content of training, and the expected improvement in skills levels.

Table 7. Strategic actions for District Councils (E)

Strategic Action	Input
E.1 Development of operational working manuals and guidelines at targeted District Councils	E.1.1 Develop and operationalise stakeholder and community participation manual and guidelines, SCPG
	E.1.2 Develop, and operationalise work plan, budgeting, and progress report framework for District Councils
E.2 Acquisition of operational physical resources at targeted District Councils	E.2.1 Procure vehicles and accessories for district focal points
	E.2.2 Procure computers, laptops and related facilities and internet services for district focal points
E.3 Building district staff capacity with up-to-date skills and knowledge	E.3.1 Develop training material on the use of stakeholder and community engagement & participation manual and guidelines, SCPG
	E.3.2 Carry out coaching in the use of the SCPG
	E.3.3 Carry out training, coaching, and mentorship as part of implementing SRBDP and SONGWECOM projects for District Council staff
	E.3.4. Conduct M&E staff technical training for all staff related to M&E activities at district and community level
	E.3.5 Conduct training for the local community and responsible gauge readers to minimise errors in data booking, the risk of vandalism and protection of gauging stations

E.1 Manuals and guidelines at targeted District Councils

To facilitate uniform and easy communication and engagement at district levels, a Stakeholder and Community Participation Guidelines (SCPG) is needed (E.1.1). The SCPG will define the nature of the working relationships, and the responsibilities among the District Councils staff and communities in the district councils on implementation of SRBDP and SONGWECOM projects. Drafting the SCPG, consultation and input at district level would be needed. The Secretariat is expected to take an active role in orienting, coaching, and training District Council staff on guideline. As a result, greater support to and confidence in the Secretariat, in the Strengthening Transboundary Cooperation and Integrated Natural Resources Management for Songwe River Basin (STCINRMSRB) project, and the SRBDP could be achieved.

The strategic action also includes development and operationalisation of work plan, budgeting, and progress report framework for District Councils (E.1.2). It includes data consolidation for decision-making and the delivery of work plans, budgets, and progress and financial reports. It also includes training to enhance overall project management skills of District Council staff.

E.2 Acquisition of operational physical resources at targeted District Councils

Acquisition of physical resources for improving operations at targeted District Councils (E.2) is the second strategic action in the capacity area. This includes the procurement of vehicles and accessories for district focal points (E.2.1). Enabling travel with 4x4 road vehicles is key to District Councils. Many project activities occur in remote areas, with difficult terrain and road conditions (especially during the rainy season). Examples of such activities include soil and water conservation and catchment rehabilitation in rural areas.

The acquisition of computers/laptops, inventory and internet services for district focal points (E.2.2) would improve their service delivery in supporting SONGWECOM. The Secretariat could procure, commission, and allocate computers, laptops and related facilities and internet services to focal point coordinators at each of the seven districts for improved service delivery.

E.3 District staff knowledge, skills, and experience

To enhance the skills and knowledge of targeted District Council staff, a third strategic action will encompass the development of training materials on the use of stakeholder and community engagement and participation guidelines - the SCPG (E.3.1); conducting coaching in the use of the SCPG (E.3.2); and, training, coaching, and mentorship as part of the SRBDP and SONGWECOM projects - especially to raise knowledge and endorsement of the role of District Councils and of communities for their engagement in SONGWECOM projects, realising the benefits and their commitments to be involved in said projects (E.3.3).

The TDS/SPA final draft report confirm that the District Councils and Secretariat staff both require acquisition of M&E and FEWS knowledge, skills, and experiences. They also require the establishment of M&E support structure and their relevant staff or focal persons to get technical training in M&E methods, principles, and practices (E.3.4). Finally, providing training and incentives for community members who are solicited as Gauge Readers of river monitoring stations (E.3.5), can support the sustained data collection of station equipment, through improved operation and maintenance and protection against damage and vandalism.

5- TRAINING PROGRAMME AND MANUAL

5.1 Training Programme

The Training Programme and Manual (TP) is built upon the Capacity Building Strategy (CBS) with the purpose of dealing with capacity constraints of the Joint Songwe River Basin Commission (SONGWECOM) that require acquisition and improvement of knowledge, skills, and experience. The TP, therefore, outlines the training needed to fill the capacity needs for knowledge, skills, and experience of personnel working in SONGWECOM (capacity area D) and those of District Councils with the addition of strengthening district operations (capacity area E), identified as part of the Capacity Needs Assessment (CNA). The proposed training includes addressing knowledge, skills, and experiences needed to advance and implement the 2015 Songwe River Basin Development Programme (SRBDP) and the manual comprising instructions and guidelines for implementing and conducting training.

The development of the TP was undermined by the absence of the permanent Executive Secretary and staff at the Secretariat as alluded in CNA. Developing and proposing tailor-made individual staff training was further complicated by the absence of an Organisational and Operational Plan (OOP) and an overall Human Resources and Staff Development Plan (HRSDP) for fully SONGWECOM establishment from the present human resources and personnel demands to those when SONGWECOM will be operating and maintaining water resources infrastructure, systems and services established under SRBDP. The OOP, HRSDP and the staff in position would have clarified and distinguished the human resources and staff development requirements and training needs across the organisation and throughout SONGWECOM's operations.

As such, the TP was developed without input of knowledge and experiences of the Secretariat staff. It is therefore recommended that the TP continues as an iterative and live document, updated gradually and pragmatically as the SONGWECOM entities progress. Such updates to the TP will ensure all staff and members of SONGWECOM entities have the latest and most appropriate knowledge, skills, and experiences for solving complex and complicated challenges in implementing the mandate, responsibilities, and functions of SONGWECOM and the SRBDP projects.

In summary, the TP consists of:

- Training Programme for SONGWECOM corporate government and management for the Council of Ministers (CoM), the Joint Steering Committee (JSC), the Joint Team of Experts (JTE) and the Secretariat's Executive Management Team (EMT). It comprises of:
 - Corporate governance and management principles and practices.
 - Study tour to Zambezi River Authority headquarters and its operation office at Kariba Dam, the Zambezi Watercourse Commission headquarters in Harare, Zimbabwe, and to the Water Administration for the South, ARA Sul, in Maputo, Mozambique.
- Training programme for the Secretariat staff
 - Corporate services knowledge, skills, and experience.

- Project management knowledge, skills, and experience.
- Technical knowledge, skills, and experience (key water resources management topics).
- Training programme for District Councils
 - Stakeholder and community engagement and participation.
 - Work planning, budgeting, and progress reporting.
 - SRBDP and SONGWECOM project knowledge.

5.2 Manuals and guidelines

The Training Manual provides practical instructions and guidelines on how to prepare and undertake orientation and training during the implementation of the CBS. The manual and guidelines emphasise on i) expected knowledge that would result from the training, ii) disciplines needed to be covered in training, and iii) skills and experience that the participants would gain to have the ability to undertake defined tasks. The TP outlines a list of manuals and guidelines that are instrumental tools across the training activities.

- Corporate governance and management orientation manual
 - Corporate governance orientation instructions
 - Governance and management orientation guidelines
- Integrated Water Resources Management (IWRM), Integrated Urban Water Management (IUWM) and Climate Change Adaptation (CCA) training manual.
 - IWRM/IUWM/CCA training instructions
 - IWRM/IUWM/CCA training guidelines
- Corporate services training manual
 - Corporate services training instructions
 - Corporate services training guidelines
- Project management training manual
 - Project management training instructions
 - Project management training guidelines
- District Councils' staff training manual.
 - Stakeholder participation training instructions
 - Work planning and progress reporting training instructions.
 - SONGWECOM projects training instructions.
 - Stakeholder participation training guidelines
 - Work planning training guidelines
 - SONGWECOM project implementation training guidelines.

The full TP can be found in Annex 3.

5.3 Frequency of training

The length and frequency of training are short, medium, and long term. Training in corporate governance and management is designed to be short, one to two days, but should be repeated over the long term and as soon as new members join the CoM or JSC. Similarly, training in technical services may be short in duration but should be updated and repeated as new staff joins or existing staff are assigned new roles.

Medium term training consists of special professional training and registration/ certification of Secretariat staff. This is for engineers, accountants, and other professions requiring a recognised level of knowledge and skills for their role in SONGWECOM. Medium term trainings are those that are one-off and tailored to the individual and the role and duties s/he has. Refresher training based on identified needs is also conducted in the medium term and can be provided by appropriate national and regional training institutions. For example, this can include training that lasts one to three months with a focus on elevating skills in technical issues, financial management, administration, and procurement.

Long term training that takes a year or longer are those that lead to an academic qualification. These could be supported and planned for as part of human resources and staff development of SONGWECOM with the aim of elevating staff credentials and retention.

5.4 SONGWECOM Training

5.4.1 Corporate governance and management

Training in the principles and practices of corporate governance and management is geared towards the members of the CoM, JSC, the Secretariat's executive management team, and the JTE.

Orientation on strengthening corporate governance of the SONGWECOM entities entails:

- Introduction to corporate governance, covering governance origins, code of best principles and practices, and types and functions of CoMs and JSCs/boards of directors (executive and non-executive).
- Terms and conditions of CoM and JSC, including code of conduct for CoM and JSC of RBOs and state corporations, and benefits and indemnity of CoM and JSC/board of directors.
- Institutional etiquette, transparency, confidentiality, and ethics principles of transboundary cooperation alongside orientation on associated politics, cultural values, and diplomacy.
- Meetings rules, management, and etiquette for CoM and JSC procedures (including roles, meeting roles, preparation, chairing, minute taking etc.).
- Statutory and regulatory control for SONGWECOM entities to understand and adhere to regulations, such as public audit acts, public finance management acts, public procurement, and disposal of public assets acts, and in addition, other relevant laws and legislations related to transboundary and joint venture water resources cooperation and investments.

As a result of the orientation to strengthen governance, the CoM, JSC, the Secretariat's executive management team, and the JTE will benefit from the following objectives:

- Good corporate governance principles and practices are instilled, inspiring and motivating the CoM, JSC as board of directors, the Secretariat's executive management team, and the JTE. Each member appreciates the separation of powers and functions, and their collective roles to coordinate, strengthen, and make SONGWECOM institutional establishment development fully completed as an autonomous institution.
- The CoM is knowledgeable, understands and appreciates the importance of corporate governance principles and practices that SONGWECOM should follow to establish itself as an effective and efficient international organisation with good corporate image and high credit rating. The CoM makes constructive decisions, gives proper directives, and has proactive leadership that bring about required changes in strengthening the SONGWECOM institutional establishment.
- JSC as board of directors and JTE, are knowledgeable, understand, and appreciate the importance of corporate governance principles and practices and their roles in scrutinising, directing, and supervising the Secretariat, as the management of SONGWECOM.
- The Secretariat's executive management team is knowledgeable, understands, and appreciates the importance of practising good corporate governance principles and practices in the day-to-day operations of the Secretariat.

As a result of orientation on strengthening governance, the CoM, JSC, the Secretariat's executive management team, and the JTE perform the following functions:

- Advance transboundary cooperation between the riparian states, strengthens SONGWECOM's institutional establishment, and implementation of the SRBDP.
- Controls and ensures principles and practices of corporate governance are adhered to throughout all operations, investments, and related endeavours.
- The CoM controls and supervises overall operations, giving directives to the JSC who in turn function as the board of directors for the Secretariat's executive management team with technical support from the JTE.
- Ensures necessary data, information, and related record keeping is secure, shared, and safe.
- Manage and set procedures for meetings as a collective responsibility of the CoM and JSC, with the Secretariat providing secretarial services.
- Controls policy, legal, and institutional reform processes, alignment, and objectives.
- Ensures statutory and regulatory frameworks are part of establishment and operations.

Orientation on strengthening corporate management principles and practices of the SONGWECOM entities entails:

- A Performance Management Systems, that the CoM and JSC use to monitor SONGWECOM programs and work plans objectives, outcomes, and outputs, as well as

means of verification, key performance indicators, modified balanced scorecard, peer-to-peer programs, and work plan monitoring and evaluations for necessary adjustments.

- SONGWECOM Institutional Establishment, covering policy, legal and institutional reforms required for its strengthening, and the organisational and operational plan, based on legal reforms, procedures, and prerequisites for full establishment of SONGWECOM.
- SONGWECOM Core and SRBDP Business, covering transboundary water resources management corporation principles and practices and joint Songwe River Basin development and water resources infrastructure investment programmes.
- 2015 SRBC Business Plan, and the potential roles of Public Private Partnerships (PPP) and special purpose vehicles (SPV) in SONGWECOM investments and SONGWECOM institutional mandates and responsibilities.
- Human resources and staff condition of services and the CoM and JSC, covering conditions of service, general salary structures and ranges, staff promotions, education allowances, bonuses, acting appointments and operational policies.
- Human resources and administrative management, and the CoM and JSC covering human resources management and the CoM and JSC, recruitment processes, and contract regimes, employment appraisals, discipline and grievances managing and conflict management and bonuses and rewards administration.
- Budgeting and Finance, and the CoM and JSC covering budgeting and mobilisation of financial resources, performance management plans and budgets, auditing, and financial control.
- Financial Management, and the CoM and JSC covering financial management for non-financial experts, internal controls, including Internal Audit and interpreting Financial Statements.
- People Management, and the CoM and JSC covering labour relations and trade unions, industrial actions risk mitigation and negotiations and labour conflict risk mitigation and management.

As a result of the orientation to strengthen management, the CoM, JSC, the Secretariat's executive management team, and the JTE will benefit from the following objectives:

- Good corporate management principles and practices are instilled, inspiring and motivating the CoM, JSC as board of directors, the Secretariat's executive management team, and the JTE. Each member appreciates the separation of responsibilities and functions, and their collective roles to improve the Secretariat development to perform its operations independently under the direction of the CoM and JSC.
- The CoM is knowledgeable, understands and appreciates the importance of corporate governance principles and practices that SONGWECOM should follow to establish itself as an effective and efficient joint river basin organisation (RBO) with good corporate image and high credit rating. The orientation should be done whenever a new member

joins the CoM. The orientation shall build capacity of the CoM, JSC, and the Secretariat in performing their responsibilities and accelerate the SRBDP implementation.

- JSC as board of directors and JTE, are knowledgeable, understand, and appreciate the importance of corporate management principles and practices and their roles in scrutinising, directing, and supervising the corporate and technical services provided by Secretariat, as the management of SONGWECOM.
- The Secretariat's executive management team is knowledgeable, understands, and appreciates the importance of practising good corporate management principles and practices in the day-to-day operations of the Secretariat.

The training mirrors the strategic actions of D.1.1 in capacity building area D of the CBS (strengthening SONGWECOM knowledge, skills, and experience development), and are detailed in Table 8.

5.4.2 Study tours

Comprehensive improvement to the SONGWECOM entities' skills and knowledge, can be achieved through study tours. The TP proposes introductory study tours and visits to other River Basin Organisations and institutions that manage joint water resources infrastructures and services. Such a study tour will include a visit to the Zambezi River Authority (ZRA) in Lusaka and the Kariba Dam that ZRA manages on the Zambezi River between Zambia and Zimbabwe. The study tour will also include a visit to the Zambezi Water Commission (ZAMCOM) in Harare, Zimbabwe, who represent the transboundary cooperation of the eight riparian states (including Malawi and Tanzania).

Additional study tours should be done to visit the regional water administration entity of southern Mozambique, ARA-Sul. SONGWECOM participants will learn how ARA-Sul uses water users and water rights fees revenue to operate and maintain dams, barrages, and water works that ensure electricity is generated, farmers receive water to irrigate crops, and water supply scheme get water to supply residents in towns and rural areas. Water user associations can also be included in these study tour to trickle down the impact and enhance community engagement.

The training made possible through study tours mirrors the strategic actions of D.1.1 in capacity building area D of the CBS.

Table 8. Training modules for corporate governance & management

No.	Training Module	Training Topics
Corporate Governance Principles and Practises		
1	Introduction to corporate governance	✓ Basics of transboundary water organisation governance ✓ Transboundary water investment and development companies' corporate governance ✓ Origins of corporate governance ✓ Code of best principles and practices ✓ Types of CoM and JSC/Boards: difference between executive and non-executive JSC/Boards

2	Terms and conditions of corporate world	✓ Code of Conduct for CoM and JSC of RBOs and state corporations ✓ Benefits of CoM and JSC/Board of Directors ✓ Indemnity of CoM and JSC/Board of Directors ✓ Delineation of mandates and responsibilities of CoM and JSC
3	Institutional etiquette and ethics principles and transparency	✓ Introduction to institutional etiquette and ethics ✓ Confidentiality and transparency ✓ Introductions to international development cooperation ✓ Transboundary water resources transboundary cooperation and politics ✓ Cultural values and transboundary cooperation in water resources management ✓ Diplomacy and etiquettes for joint transboundary water resources management and development
4	Conducting and managing CoM and JSC/Board business and meetings	✓ Roles of the CoM and JSC/Board of Directors and their committees ✓ Preparation for CoM and JSC/Board of Directors meetings ✓ Chairing and participating in CoM and JSC/Board of Directors/ committee meetings ✓ Minutes of CoM and JSC/Board meetings and its management
5	Statutory and regulatory control	✓ Introduction to statutory and regulatory ✓ Public Audit Acts ✓ Public Finance Management Acts ✓ Public Procurement and Disposal of Public Assets Acts ✓ 2000 Revised Protocol on Shared Watercourses in SADC ✓ Other relevant laws and legislations (related to transboundary and joint venture water resources cooperation and investments)
6	Performance management systems	✓ Programmes and work plan objectives, outputs, and outcomes verifications ✓ Performance management and evaluation systems ✓ Key performance indicators and the modified balanced scorecard ✓ Peer to peer programmes and work plan monitoring and evaluations. ✓ Review and adjustment of programmes and work plans
Corporate Management Principles and Practise		
7	SONGWECOM institutional establishment	✓ SONGWECOM policy strengths and weaknesses in the advancement of its institutional establishment ✓ Legal strengths and weakness used in the SONGWECOM institutional establishment. ✓ Strengths and weakness in the organisational and operational set up, resourcing and Institutionalisation of SONGWECOM ✓ Basic and practical organisational and operational set up, resourced, institutionalised, and performing RBO and river basin authority or joint water development company. ✓ Examples of strategic planning for an organisation to be autonomous
8	SONGWECOM core and SRBDP business	✓ Transboundary corporation principles and practises ✓ SRBDP ✓ 2015 SRBC Business Plan ✓ Public Private Partnerships and special purpose vehicles ✓ SONGWECOM institutional mandates and responsibilities
9	Human resources and staff condition of services	✓ Conditions of service general ✓ Salary structures ✓ Staff promotions ✓ Education allowance ✓ Bonuses ✓ Acting appointments ✓ Operational policies
10	Human resources and administrative management	✓ HRM and the CoM and JSC ✓ Recruitment process ✓ Employee appraisal ✓ Staff discipline and grievance handling ✓ Bonuses and rewards administration
11	Budgeting and finance	✓ Budget goals, objectives, outputs, and outcomes ✓ Basics of budgeting – budget processes, budgeting principles and revenue/expenditure assessment, etc. ✓ Project budgeting and financial resources Mobilisation and financing ✓ Budget approval and financing processes ✓ Performance management plans and budget controls

12	Financial management for non-experts	✓ Accounting and finance for communicating and overseeing operations. ✓ Nature and role of financial statements and their interpretation ✓ Financial performance and financial position of an organisation ✓ Budgetary control and actual against planned performance assessments ✓ Investment projects and evaluation and appraisals
13	People management	✓ Labour relations and trade unions ✓ Industrial actions risk mitigation and negotiations ✓ Conflict risk mitigation and management

5.5 Secretariat Training

The details of the training programme for Secretariat will be described in this part.

5.5.1 Corporate services

Strengthening capacity in corporate services of SONGWECOM and the Secretariat encompass:

- Communication and public relations.
- Financial management and control.
- Public Procurement and stores management.
- Human resources management.
- Corporate services knowledge, skills, and experience acquisition.

Improving knowledge, skills, and experience in corporate services of the Secretariat staff is critical for the institution's efficiency and legitimacy, and its ability to fulfil its mandate. Prioritisation of training in corporate services was not possible in the TP due to the absence of staff.

Therefore, the TP focuses on short term training to build the core corporate services of the Secretariat and where the capacity needs were deemed most urgent: quarterly and annual work planning, costing, and budgeting of work plans, progress, and financial reconciliation reporting, and monitoring and evaluation with review of work plans and budgets. In parallel, training on resources mobilisation and project financing will be detailed in the parallel consultancy. These training areas were developed into training modules. Courses can be provided in Kyela by identified trainers from Malawi and Tanzania.

5.5.2 Project management

Training in project management for Secretariat staff focuses on three modules. The first module focuses on introducing project management, covering topics such as project management principle and practise concepts, the full project cycle from concepts to commissioning to handover, project stages and critical path of project execution, project monitoring and evaluation, and use of project management templates for results framework and monitoring and evaluation.

A second module focuses on improving skills in procurement and contract management covering topics such as the basics of procurement, procurement rules and regulations, contract negotiations, contract management for goods, works, and non-consultancy and consultancy services, and the use of contract management spreadsheet templates.

The third module will improve skills in infrastructure construction, commissioning, and management. The module covers topics of principles and practices of responsibilities and functions, safety, environmental impact, and impact management, among others.

Projects are the main vehicle whereby SONGWECOM can raise funds, implement activities, and construct and maintain infrastructures in the next ten years. Careful management of the project stages and of external consultants and contractors is key for operational success and realisation of the SRBDP. The training could be held in Kyela by trainers from Malawi or Tanzania.

5.5.3 Technical knowledge, skills, and experience

The TP to improve SONGWECOM's technical services span priority water management areas. These areas are briefly summarised below, and detailed training proposed is presented in Table 11.

IWRM

The TP covers the principles and practises of IWRM, as well as associated plans, planning processes, and benefits of IWRM. The TP proposes a tool kit for IWRM, which encompasses key water use areas - such as hydropower, irrigation, drainage, and water supply and sanitation schemes and services.

IUWM

The TP also covers principles and practices of IUWM which will elevate staff skills in the role of water in urban development and the benefits of IUWM. IUWM manuals and guidelines elevate skills in topics such as water supply and sanitation, urban floods, drainage, settlements, and land stability.

Climate Change Adaptation

The TP covers climate change adaptation principles, practices, and proposes a first module to introduce the concepts of variability, vulnerability assessment, and adaptation measures. A second module focuses on mainstreaming adaptation across operations and projects.

Transboundary cooperation

A Transboundary Diagnostic Assessment and Strategic Action Plan for the Songwe River Basin (TDA/SAP) provides recommendations on training to enhance transboundary cooperation for shared water resources management and development (under development). Improving skills in transboundary cooperation also cross-reference with the training being proposed in two additional consultancies. The study on Flood Forecasting and Early Warning Systems (FFEWS) and the study on Information and Communication Technologies/ Management Information System/ Geographical Information Systems / Resources Mobilisation Strategy (ICT/MIS/GIS/RMS).

The TP modules and topics focusing on strengthening skills in transboundary cooperation cover key topics, such as: principles, procedures, and approaches to strategic river basin planning; conjunctive and coordinated multipurpose water resources use; and water demand

studies. In line with IWRM principles and the commitments in the SONGWECOM Convention, training will also cover sustainable utilisation, social equity, economic efficiency, and environmental sustainability.

Flood Forecasting & Early Warnings Systems

The training modules and topics on FFEWS should cover the critical needs in the basin's hydrometeorology, but also the integration of local and remote data sources that integrate into alert systems and subsequent important communication with people at risk. Training is therefore necessary for general understanding of FFEWS; the updating, operation and maintenance of hydrometeorological monitoring and information management systems; flood and drought disaster risk management (infrastructure and management); and hydrological and flood modelling of the Songwe River Basin.

ICT/MIS/GIS/RMS

Training on ICT/MIS/GIS/RMS will be detailed in the final report of the associated consultancy. The training will have bearing on and needs to be aligned with the training proposed in the integrated capacity building plan. Training should enhance the Secretariat staff's knowledge, skills, and experience in the use, updating, and operation and maintenance of ICT infrastructure, systems, and services. Training modules should be delivered together with instructions and guidelines that are easy for staff to use in day-to-day operations.

Watershed services payments and carbon sequestration

Training modules and topics on watershed management services, carbon sequestration and payment for watershed services come from TDA/SAP final draft report. Training will elevate the Secretariat's ability to respond to growing concerns of degrading catchments in the Songwe River Basin, and its impacts and interconnections with fertile soils, groundwater recharge, biodiversity, wildlife movement corridors, sedimentation of the river, and heightened risks with floods. Training also addresses the value and opportunities of carbon sequestration to mitigate climate change and payment of environmental services and forest ecosystems.

5.5.4 Professional training/certification

The TP outlines how professional training and certification can elevate the Secretariat staff skills and knowledge. This includes training and certification for civil, mechanical, electrical engineers, hydrologists, economists, financial analysts, among others. The professional training shall be linked to the staff's roles and responsibilities. Examples of training include dam engineering design, construction, operation, and maintenance works; financial advisory transaction services for project investments; Public Private Partnership (PPP) for investment and implementing public projects; and special purpose vehicle development and management.

Secondment and involvement of external experts is a direct way for the Secretariat to acquire professional skills. Secondees and/or experts from the respective country's ministries could provide cross-support to the Secretariat. To leverage opportunities for specialised and professional training, the appropriate staff member should be attached to consultants during designs and supervision studies and to the contractors during construction of dams and related

water resources infrastructures and installation of hydropower plants, waterworks for irrigation and water supply, etc.

Table 9. Training modules for corporate services

Training Modules	Training topics
Quarterly and annual work planning	✓ Work plan principles (goals, objectives, outputs, activities, timelines, and budget) ✓ Work planning processes ✓ Quarterly and annual work plan scheduling ✓ Organisational capacity and work planning control
Costing work plans and budgeting	✓ Work plan budgeting methods ✓ Preparing budget for a work plan ✓ Use of excel spreadsheets in budgeting for work plans
Progress and financial reconciliation reporting	✓ Budgeting of annual work plans ✓ Progress and financial reconciliation reporting ✓ Use of excel spreadsheets in progress and expenditure reporting
Monitoring, evaluation, and review of work plans and budgets	✓ Monitoring quarterly and annual work plans and budgets. ✓ Evaluating and updating work plans and budgets. ✓ Review of work plan and budgets ✓ Use of excel spreadsheets in monitoring and evaluation
Office etiquette and discipline	✓ Establishing gender mainstreaming programmes at community level ✓ Integrating all sections of society including vulnerable groups in community engagement processes ✓ Introduction of grievance redress procedures ✓ Introduction to accountability and transparency
Fundraising, Relationship Building and Networking	✓ Strong understanding of fundraising principles, strategies, and techniques ✓ Good understanding of financial concepts, budgeting, and financial analysis for developing and managing project budgets ✓ Relationship building and networking, professional interpersonal and networking skills, as well as the ability to engage and influence potential partners. ✓ Research and analysis skills at conducting research to identify potential funding sources, grants, and partnerships. ✓ Excellent communication, writing, and presentation skills to be able to articulate project's goals, impacts, and funding needs in a clear and compelling manner to different stakeholders. ✓ Adaptability and resilience skills to changing circumstances, able to work under pressure, and resilient in the face of setbacks and uncertainties of fundraising. ✓ Teamwork and collaboration, team player, able to collaborate effectively with program staff, finance teams, and other departments within SONGWECOM
Public relations and stakeholder engagement	✓ Acquisition of knowledge of public relations strategies and techniques to enhance SRBDP's visibility, media coverage, and stakeholder engagement. ✓ Proficiency in creating compelling and impactful content across various channels, including press releases, articles, social media posts and newsletters. ✓ Digital marketing skills, use of digital marketing tools and platforms to leverage online channels for SRBDP promotion and stakeholder engagement. ✓ Branding and visual identity: understanding of branding principles and visual identity management to maintain a consistent and appealing image of SRBDP. ✓ Analytical skills: ability to analyse communication data, evaluate the impact of communication efforts, and make data-driven decisions for continuous improvement

Table 10. Training modules for project management

Training Modules	Training topics
Introduction to Project management	✓ Concepts and principles of project management ✓ Project cycle from conceptual planning to commissioning and handover. ✓ Stages and critical path in project management ✓ Project monitoring, evaluation, and reviews ✓ Introduction to project performance monitoring and evaluations systems and result frameworks ✓ Use of project management spreadsheet templates ✓ Use of project performance monitoring and evaluation systems, and result frameworks
Project procurements and contract management	✓ Basics of procurement ✓ Project contract negotiations ✓ Contract management for goods ✓ Contract management for services

	✓ Contract management for works. ✓ Use of contract management spreadsheet templates
Project construction management and commissioning	✓ Principles of construction management ✓ Construction management functions ✓ Project construction safety and environmental safeguards ✓ Project construction monitoring and evaluation. ✓ Project completion and commissioning reporting

Table 11. Training modules to improve technical services.

Training Modules	Training topics
Introduction to IWRM	✓ Basic concepts of IWRM ✓ IWRM principles and practices ✓ IWRM plans and planning. ✓ Benefits of IWRM
Introduction to IUWM	✓ Basic concepts of IUWM ✓ Urban developments and IUWM ✓ IUWM principles and practices ✓ Benefits of IUWM
Introduction to climate change adaptation	✓ Concepts of climate change and variability ✓ Climate change vulnerability assessment ✓ Climate change adaptation measures development ✓ Benefits of climate change adaptation
Using IWRM Manual and guidelines	✓ Tool kit for IWRM ✓ Irrigation and drainage project ✓ Water supply and sanitation scheme
Using IUWM Manual and guidelines	✓ Urban development ✓ Water supply and sanitation ✓ Wastewater and solid waste management ✓ Urban floods and storm drains and drainage ✓ Urban settlements and land slide
Mainstreaming climate change adaptation	✓ Policy and legal frameworks ✓ Taming floods and droughts ✓ Biodiversity and natural resources conservation
Water quality monitoring	✓ Planning for water quality sampling. ✓ Sample preparation for water quality ✓ Sampling water quality procedures
Water Sediment monitoring	✓ Introduction to sediment sampling techniques ✓ Automatic samplers: placement, setup, and programming ✓ Manual samplers: types of samplers available and how to select one for your sampling programme. ✓ Turbidity sensors: where to setup a monitoring site, how often to measure turbidity measurements. ✓ Sampling: sample collection procedures ✓ Laboratory analysis of water samples ✓ Data analysis and interpretation ✓ Quality assurance and quality control measures and procedures

5.6 District Councils training

5.6.1 Stakeholder and community engagement and participation

The TP for improving District Councils' engagement of stakeholder and communities involves the development and use of a Stakeholder and Community Participation Guideline (SCPG). Informed by the District Councils' existing experiences and relations with stakeholders and communities, the SCPG could capture and assemble the collective knowledge whilst including recommendations from research and other projects. District Council staff are expected to be involved in the SCPG drafting. Training of District Council staff will be done by the Secretariat staff or by expert consultants.

Through hands-on training in the use of the SCPG, District Council staff would get a clear understanding of the working relationship and the responsibilities of different partners and entities. With clarified roles, it will be easier for District staff to provide input and feedback on SRBDP and SONGWECOM projects. District Council staff may deliver and transfer the information to the end users to make it more effective.

5.6.2 Work plan, budgeting, and reporting

The TP for District Council staff includes tailored efforts to improve skills in work planning, budgeting, and progress and financial reporting. The training modules and topics are hands-on, cover the full process of the tasks, and provide templates for District Council staff to use in practice. The training modules covers:

- Community mobilisation and practices of work planning, budgeting, and progress reporting.
- Quarterly and annual work planning.
- Costing work plans and budgeting.
- Progress and financial reconciliation reporting.
- Using work plans, budget and progress and financial reconciliation report templates.

As partners and implementers of SRBDP and SONGWECOM projects, the District Councils are essential for the Secretariat's core functions and operations. With elevated skills from the TP, the partners will be motivated by the benefits of greater efficiency and transparency.

5.6.3 SRBDP and SONGWECOM project participation

The training to strengthen understanding and involvement of District Councils in SRBDP and SONGWECOM projects, is captured in the following modules:

- Introduction to SRBDP: origins, scope, projects (economic and social infrastructures, dams, hydropower, irrigation, and water supply schemes), and community involvement and benefits, including alignment with the Integrated Natural Resources Management for the Songwe River Basin (STCINRMSRB) project.
- Introduction to STCINRMSRB: origins, importance, agroforestry, natural resources management practices, catchment degradation, pollution, catchment conservation, rehabilitation, and protection (and alignment with SRBDP).
- Infrastructures and services in District Councils: infrastructures (dams, hydropower, irrigation, and water supply), flood and early warnings systems, hydrometeorological monitoring, and socioeconomic services in education, health, rural electrification, and water supply.

Across the modules, emphasis will be given to the benefits and obligations of District Councils as being part of and beneficiaries of the SRBDP.

Table 12. Training modules for District Councils, stakeholders & community

Training Modules	Training topics
Principles and practises of stakeholder and community mobilisation	✓ Principles and practises of community mobilisation ✓ Principles and practises of Stakeholder mobilisation ✓ Stakeholder and community identification, mapping, and analysis ✓ Community mobilisation for public works ✓ Stakeholder mobilisation for investment, operation, and maintenance of projects ✓ Community mobilisation for community project's operation and maintenance.
Principles and practices of stakeholder and community participation	✓ Principles and practises of Community participation ✓ Principles and practises of Stakeholder participation ✓ Community participation in public works projects ✓ Stakeholder participation in investment, operation, and maintenance of projects ✓ Community participation in community project's operation and maintenance
Using stakeholder engagement and participation manual and guidelines	✓ Concepts and principles of manuals and guidelines ✓ Use of manuals and guidelines in stakeholder and community mobilisation ✓ Use of manual and guidelines in stakeholder and community project involvement and participation ✓ Use of manual and guidelines in stakeholder and community in operation and maintenance

Table 13. Training modules and topics for district work plan, budget, and progress reporting

Training Modules	Training topics
Principles and practices of work planning, budgeting, and progress reporting	✓ Project and work planning concepts ✓ Work plan activities and input resources estimation and budgeting ✓ Monitoring, evaluation and review of work plans and budgets. ✓ Preparing and development of progress report ✓ Financial reconciliation and reporting
Quarterly and annual work planning	✓ Programmes and project review and development of annual activities ✓ Annual working planning and budgeting for inputs and activities ✓ Breakdown of Annual work plans into quarterly plans and budgets
Costing work plans and budgeting	✓ Programmes and project annual activities annual input and activities costing ✓ Annual work plan budgeting for inputs and activities ✓ Development of quarterly work plan budget from annual plans and budgets
Progress and financial reconciliation reporting	✓ Introduction to work plan implementation monitoring and evaluation. ✓ Introduction to expenditure monitoring and control ✓ Use of excel in progress and financial reconciliation and reporting

Table 14. Training modules to improve District Council staff's knowledge base.

Training Modules	Training topics
Introduction to SRBDP	✓ Origins of SRBDP (flooding problems and opportunities for dam and hydropower construction) ✓ Nature and Scope of SRBDP projects covering economic and social infrastructures and services. ✓ Economic Infrastructure development projects with details on SRBDP projects ✓ Social Infrastructures development projects with details ✓ Economic services generating wealth. ✓ Social services proposals for the communities
Introduction to STCINRMSRB and natural resources management	✓ Origins of STCINRMSRB and its importance to SRBDP ✓ Agro-forestry and natural resources management practices ✓ Catchment degradation and pollution and their impacts ✓ Catchment rehab and protection ✓ Importance of STCINRWMSRB to SRBDP
Infrastructures and services in the District Councils	✓ Dams, hydropower, irrigation, water supply, etc., infrastructures ✓ Social infrastructures of FEWS, Hydromet ✓ Economic services of selling water and electricity ✓ Socio-economic services of educations, health, rural electricity, and water supply services

5.7 Training institutes and providers

The Secretariat will be responsible for registration, procurement, and contracting of training through three categories of providers, educational institutes, independent training consultancies, and collaborating partners. Several options for training by and at educational institutes were evaluated, such as government training institutes, national universities, and regional centres of excellence. An added advantage for participating in such training are the networking opportunities for SONGWECOM representatives. Preliminary arrangements for collaboration with education institutes were explored during the ICBP preparation.

5.7.1 Universities

Collaboration with educational institutes and universities can provide long term training services, and individual trainers can meet subject specific training needs. The educational institutes identified include Mzuzu University's SADC Centre of Excellence in Water Resources Management in Malawi, and the Mbeya University of Science and Technology in Tanzania, who confirmed availability during ICBP preparation. Mzuzu University is recommended for Secretariat staff training on IWRM, IUWM, and CCA. At Mbeya University of Science and Technology, members of SONGWECOM entities can access courses on political and cultural sensitivity and international development.

5.7.2 Independent trainers and consultants

Targeted training is suitably provided by independent consultancies. Their training methodologies can be adapted based on needs, such as classroom training, training of trainers, on-the-job learning, workshops, field, and study visits, etc. It is further proposed that the trainers (mainly consultants) should provide training to instil necessary skills among the SONGWECOM staff to perform their responsibilities independently but also to make them teachers/trainers themselves. It is proposed that SONGWECOM Secretariat staff will take the responsibility of training and coaching District Council staff.

5.7.3 Collaborating partners

The International Capacity Development Network for Sustainable Water Management (Cap-Net) is an international network for capacity building in IWRM built around the achievement of three main outcomes: capacity building leading to improved management of water resources and delivery of water services, strengthening networks so that capacity can be scaled up and implementation supported, and improving access to knowledge on IWRM and water services. Cap-Net is made up of a partnership of autonomous international, regional, and national training institutions, knowledge centres, and water managers that seek effective capacity building for sustainable management of water resources. The advantages of Cap-Net's training include cascading impacts by training of trainers, cross disciplinary and transnational, knowledge on demand, state-of-the-art knowledge, and can leverage significant financial support at local level. Tools, training materials, multimedia, and other resources from Cap-Net to learn and implement water governance on the ground are recommended as reading materials for the ICBP training manuals.

Some of the courses offered by Cap-Net include:

- IWRM principles and institutional framework
- Legal and regulatory frameworks for IWRM
- Gender and water resources management
- IWRM Plans
- Local water management
- Negotiation skills.

WaterNet offers a regionally based network for education, training and research and is suitable for its focus on IWRM in southern Africa. One drawback is the potential higher cost of short course attendance as these are offered in Lesotho. WaterNet facilitates professional course development and the establishment of a regional modular master's degree. Of particular interest is the Waternet Professional Training Programme BB2 that facilitates competency training through short courses. These courses are mainly targeted at meeting the needs of river basin organisations, water utilities, municipalities, and practising water professionals. The programme is implemented in close collaboration with the SADC Water Division, the Global Water Partnership for Southern Africa and Cap-Net. WaterNet also offers opportunities to apply for scholarships for master's and Doctoral Programmes. (waternetonline.org).

Examples of short courses offered during 2023 and 2024 in Lesotho, with strong focus on Integrated Catchment Management (ICM), include:

- Policy, legislation, and governance for effective implementation of ICM in Lesotho
- Basic Remote Sensing and GIS Applications for ICM
- Advanced Remote Sensing and GIS Applications for ICM
- Natural capital accounting
- Soil and Water Conservation
- Natural Resources Monitoring and Assessment
- Approaches and Tools for Sustainable Natural Resources Management in ICM
- Land Use Planning
- ICM Planning and Implementation and Operationalisation for ICM and IWRM

Some of the courses Waternet has designed and held include:

- Integrity and Accountability in the Water Sector
- Climate Change and IWRM
- Water Supply and Sanitation
- River Basin Management

E-learning is a cost-effective method of capacity building of staff. This is offered by WaterNet by Invitation only and SONGWECOM can arrange a collaboration agreement.

6- MONITORING AND EVALUATION

6.1 Process

Monitoring and Evaluation (M&E) is central to capacity building programmes. It helps track progress, identify successes and challenges, and guides necessary adjustments to improve effectiveness. Developing the M&E framework for the Integrated Capacity Building Programme (ICBP) for the Joint Songwe River Basin Commissions (SONGWECOM) was an iterative process in four steps:

- Capacity needs assessment and establishment of minimum requirements based on the role, responsibilities, and functions of the SONGWECOM entities.
- Establishing and confirming the objectives of capacity building, and aligning them to the goal, outcomes, and outputs of capacity building as agreed in the theory of change and the capacity building Results Framework (Figure 6).
- Establishing baseline and targets for capacity building of SONGWECOM. The baseline reflects SONGWECOM's current level of capacity and performance in five capacity building areas. The targets reflect the milestones to be achieved on the assumption and precondition that the Capacity Building Strategy (CBS) and Training Programme (TP) are implemented. The targets therefore provide SONGWECOM with a roadmap to achieve greater capacity of the River Basin Organisation (RBO).
- Developing the monitoring plan for the SONGWECOM ICBP, including means of verification, indicators, data collection frequency, and designated entity/position responsible for M&E.

The M&E Framework for the ICBP drew from relevant external initiatives and guidance. These sources were selected due to their alignment with the goals of capacity building of SONGWECOM, the Convention premise, and best-practice in tracking progress in the strategic areas of the ICBP.

The relevant external initiatives and resources reviewed include:

- Sustainable Development Goal 6 for Clean Water and Sanitation, target 6.5 “By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate.”
 - Indicator 6.5.1 “degree of IWRM implementation, by assessing the four key dimensions of IWRM: enabling environment, institutions and participation, management instruments and financing.”¹
- The Global Water Partnership's IWRM Capacity Building Programme.²

¹ <https://www.sdg6data.org/en/node/1>

² www.gwp.org/en/learn/capacity-building/About_Capacity_Building/

- African Development Bank vision and policies, including the Africa Water Vision for 2025³ and the 2021 Policy on Water.⁴
- UNDP CAP NET's IWRM Performance Indicators for Transboundary RBOs.⁵

WATER GOVERNANCE STRUCTURES/POLICY AND INSTITUTIONAL FRAMEWORKS	CORPORATE CAPACITY	TECHNICAL CAPACITY
Establishment of new or improved water management institutions.	<i>STAKEHOLDER PARTICIPATION</i> Increase in the number and diversity of stakeholders participating in water management decision-making processes. Development and implementation of mechanisms to ensure transparency and accountability in decision-making processes. Adoption of communication and outreach strategies to increase stakeholder engagement.	Number of staff trained in relevant technical areas, such as water resources management, hydrology, or environmental monitoring.
Participation in international or regional water management agreements or conventions.	<i>FINANCIAL MANAGEMENT</i> Improvements in financial management, such as increased budgetary transparency and reduced financial risks.	Number of staff members with advanced degrees or certifications in relevant technical areas, such as water resources management, hydrology, or environmental monitoring.
Adoption of new or revised laws, regulations, or policies that support integrated water resources management.	<i>HUMAN RESOURCES MANAGEMENT</i> Increase in staff retention rates. Implementation of policies and procedures related to staff performance management, recruitment, and retention. Achievement of individual and organizational performance targets. Implementation of performance management system.	Increase in water data collection and analysis skills.
Legislation that reflects policy principles and provide adequate mechanisms for policy implementation.	<i>INSTITUTIONAL LEARNING</i> Number of knowledge management products produced and disseminated, such as policy briefs, research reports. Use of learning and knowledge management systems to support institutional learning and knowledge sharing.	Improvements in the accuracy and reliability of water resources data.
Development and implementation of basin wide/transboundary water allocation and planning mechanisms.		Development and implementation of new or improved water management tools and technologies.
Increased coordination and cooperation among water management stakeholders, such as government agencies, civil society organisations, and private sector actors.		Management instruments to reduce impacts of water related disasters. Improved performance in services to stakeholders, such as water supply, flood control, or irrigation.

Figure 8. Examples of indicators for River Basin Organisations

Examples of indicators for capacity building of RBOs are presented in

³ <https://www.afdb.org/fileadmin/uploads/afdb/Documents/Generic-Documents/african%20water%20vision%202025%20to%20be%20sent%20to%20wwf5.pdf>

⁴ https://www.afdb.org/sites/default/files/documents/policy-documents/policy_on_water-18062021.pdf

⁵ www.cap-net.org/water-governance/

WATER GOVERNANCE STRUCTURES/POLICY AND INSTITUTIONAL FRAMEWORKS	CORPORATE CAPACITY	TECHNICAL CAPACITY
Establishment of new or improved water management institutions.	<i>STAKEHOLDER PARTICIPATION</i> Increase in the number and diversity of stakeholders participating in water management decision-making processes. Development and implementation of mechanisms to ensure transparency and accountability in decision-making processes. Adoption of communication and outreach strategies to increase stakeholder engagement.	Number of staff trained in relevant technical areas, such as water resources management, hydrology, or environmental monitoring.
Participation in international or regional water management agreements or conventions.	<i>FINANCIAL MANAGEMENT</i> Improvements in financial management, such as increased budgetary transparency and reduced financial risks.	Number of staff members with advanced degrees or certifications in relevant technical areas, such as water resources management, hydrology, or environmental monitoring.
Adoption of new or revised laws, regulations, or policies that support integrated water resources management.	<i>HUMAN RESOURCES MANAGEMENT</i> Increase in staff retention rates. Implementation of policies and procedures related to staff performance management, recruitment, and retention. Achievement of individual and organizational performance targets. Implementation of performance management system.	Increase in water data collection and analysis skills.
Legislation that reflects policy principles and provide adequate mechanisms for policy implementation.	<i>INSTITUTIONAL LEARNING</i> Number of knowledge management products produced and disseminated, such as policy briefs, research reports. Use of learning and knowledge management systems to support institutional learning and knowledge sharing.	Improvements in the accuracy and reliability of water resources data.
Development and implementation of basin wide/transboundary water allocation and planning mechanisms.		Development and implementation of new or improved water management tools and technologies.
Increased coordination and cooperation among water management stakeholders, such as government agencies, civil society organisations, and private sector actors.		Management instruments to reduce impacts of water related disasters. Improved performance in services to stakeholders, such as water supply, flood control, or irrigation.

Figure 8. Setting the indicators was informed by the external initiatives and examples but were also adapted to the local context and prioritised needs of SONGWECOM.

Four principals were considered while developing M&E Framework to enhance and assure greater quality in Implementation of M&E. These principles are:

- Participation, as an open process to include beneficiaries/affected and pursuit of joint data analysis.

- Negotiation, to reach agreements on the aspects monitored, the manner and time that data is collected and analysed, and the interpretation of data and the best method to share findings.
- Learning, as a process of the preceding principles and forming the basis for improvements and corrective action.
- Flexibility, as during for the entire M&E process, since the number, role and skills of stakeholders, the external environment and other factors change over time.

An M&E approach built on these principles should be maintained throughout ICBP implementation to promote ownership and sustainability, and to allow for integration of results into the planning and implementation processes, and thus adapt the ICBP itself.

6.2 Plan

The M&E plan for the ICBP entails three components. First, the Secretariat through a designated staff member (tentatively the Deputy Executive Secretary) shall be responsible for conducting regular monitoring of ICBP implementation:

- Monitor activities and outputs to track progress and results.
- Integrated progress and results in SONGWECOM's quarterly and annual reporting.
- Report on lessons learnt and if necessary, propose adjustments.

Second, an external consultant (ideally) shall, periodically, evaluate ICBP effectiveness and use the evaluation results to:

- Include both quantitative and qualitative data, such as participant feedback, and capture changes related to SONGWECOM's capacity and performance in relation to its mandated functions and on the overall management of water resources in the river basin.
- Identify successes, challenges, and opportunities for improving the ICBP (with foreseeable up-dates needed every three to five years).

Evaluation is commonly recommended after 5 years, with a mid-term review after 3 years.

Third, the Secretariat through a designated staff member (tentatively the Deputy Executive Secretary) shall regularly communicate and report M&E results to:

- Stakeholders and ICBP participants (especially the Council of Ministers, Joint Steering Committee, the Secretariat, and target District Councils), as well as other interested parties such as Development Partners.
- Maintain staff retention, stakeholder engagement, and support for the ICBP.

To benchmark SONGWECOM capacity building efforts with other transboundary water resources cooperation that Malawi and Tanzania are part of. No external data sources will be necessary for the ICBP M&E.

6.3 M&E Framework

The full M&E Framework is presented in two tables. Table 15 maps and links the ICBP objective and outcomes, and specifies indicators, targets with timeline, and means of verification with assumptions and risks. Table 16 maps and links the ICBP outputs, detailing the milestone targets, timeline, and means of verification with risks and assumptions.

Developing the M&E Framework for the ICBP entailed six sets of activities:

- 1) Review and confirmation of ICBP goal, objectives, outcomes, results, and outputs.
- 2) Identification and definition of indicators for objectives, outcomes, results, and outputs.
- 3) Identification and definition of verification, data collection methods, and timeline.
- 4) Identification and description of M&E roles and responsibilities.
- 5) Development of data analysis plan, reporting templates, and report preparation.
- 6) M&E report dissemination plan and reporting.

The proposed indicators in the M&E Framework had to be ‘SMART’ (Specific, Measurable, Attainable, Realistic, and Timebound) to track progress towards overarching objective, outcomes, and outputs of the ICBP. The overall objective and outcomes of the ICBP for SONGWECOM are aligned with the goal and outcomes of the Capacity Building Strategy. The objective-level indicators capture SONGWECOM’s mandated functions and degrees of institutional establishment, capacity, and service efficiency. The outcome-level indicators in

WATER GOVERNANCE STRUCTURES/POLICY AND INSTITUTIONAL FRAMEWORKS	CORPORATE CAPACITY	TECHNICAL CAPACITY
Establishment of new or improved water management institutions.	<i>STAKEHOLDER PARTICIPATION</i> Increase in the number and diversity of stakeholders participating in water management decision-making processes. Development and implementation of mechanisms to ensure transparency and accountability in decision-making processes. Adoption of communication and outreach strategies to increase stakeholder engagement.	Number of staff trained in relevant technical areas, such as water resources management, hydrology, or environmental monitoring.
Participation in international or regional water management agreements or conventions.	<i>FINANCIAL MANAGEMENT</i> Improvements in financial management, such as increased budgetary transparency and reduced financial risks.	Number of staff members with advanced degrees or certifications in relevant technical areas, such as water resources management, hydrology, or environmental monitoring.
Adoption of new or revised laws, regulations, or policies that support integrated water resources management.	<i>HUMAN RESOURCES MANAGEMENT</i> Increase in staff retention rates. Implementation of policies and procedures related to staff performance management, recruitment, and retention. Achievement of individual and organizational performance targets. Implementation of performance management system.	Increase in water data collection and analysis skills.
Legislation that reflects policy principles and provide adequate mechanisms for policy implementation.	<i>INSTITUTIONAL LEARNING</i> Number of knowledge management products produced and disseminated, such as policy briefs, research reports. Use of learning and knowledge management systems to support institutional learning and knowledge sharing.	Improvements in the accuracy and reliability of water resources data.
Development and implementation of basin wide/transboundary water allocation and planning mechanisms.		Development and implementation of new or improved water management tools and technologies.
Increased coordination and cooperation among water management stakeholders, such as government agencies, civil society organisations, and private sector actors.		Management instruments to reduce impacts of water related disasters. Improved performance in services to stakeholders, such as water supply, flood control, or irrigation.

Figure 8 are examples of best-practice indicators. These were reviewed and adjusted to the final ones used in the M&E framework (Table 16).

ICBP objective: Well-resourced SONGWECOM institution with capacity to carry out its mandate and responsibilities including SRBDP implementation and its infrastructure operations and maintenance.

Indicator: % of the core mandates and responsibilities defined in the amended Convention fulfilled/ performed.

Indicator: % of the SPRDP and related programmes delivered.

The three outcomes of the ICBP are listed below, monitored with indicators in

ROBUST GOVERNANCE & MANAGEMENT ESTABLISHED	ADMINISTRATIVE, TECHNICAL & MANAGEMENT SYSTEMS & TOOLS IN USE	ADAPTIVE CAPACITY FOR CORE MANDATE & SRBDP
SONGWECOM governance framework in place supported by firm policy and legal framework fit for SONGWECOM's mandate of Transboundary RBO with mandate of joint investments.	Adequate financial and administrative practices.	Adequacy of performance, progress and impact M&E and lessons learnt report.
SONGWECOM generates funds for its operations.	Annual HR development and staff appraisal reporting.	
	Regular brand, information, and website marketing for transparency, accountability, and public engagement.	
	Adequate Hydromet data provided to advise the two Parties and make informed and transparent decisions.	
	FFEWS data timely disseminated to minimize human, physical infrastructure, and property damages.	

Figure 9:

- Robust SONGWECOM corporate governance and management establishment that is self-supported technically and financially.
- Administrative, technical and management systems and tools in use, facilitating SONGWECOM's daily operations and underpinning participatory transboundary water management.
- Adaptive capacity to carry out SONGWECOM core mandates and SRBDP.

The summarised outputs of the ICBP are listed below and are presented through the agreed strategic actions and inputs from the CBS and the TP. The full M&E framework for monitoring ICBP outputs, and the selected indicators, is presented in Table 16.

ROBUST GOVERNANCE & MANAGEMENT ESTABLISHED	ADMINISTRATIVE, TECHNICAL & MANAGEMENT SYSTEMS & TOOLS IN USE	ADAPTIVE CAPACITY FOR CORE MANDATE & SRBDP
SONGWECOM governance framework in place supported by firm policy and legal framework fit for SONGWECOM's mandate of Transboundary RBO with mandate of joint investments.	Adequate financial and administrative practices.	Adequacy of performance, progress and impact M&E and lessons learnt report.
SONGWECOM generates funds for its operations.	Annual HR development and staff appraisal reporting.	
	Regular brand, information, and website marketing for transparency, accountability, and public engagement.	
	Adequate Hydromet data provided to advise the two Parties and make informed and transparent decisions.	
	FFEWS data timely disseminated to minimize human, physical infrastructure, and property damages.	

Figure 9. ICBP outcome indicators

The output indicators for the ICBP are presented in Figure 10. The summarised ICBP outputs are:

- SONGWECOM functioning governance and management establishment.
- Financing sustainability strategy in place with the operational office for resources mobilisation and allocation at SONGWECOM.
- Operational working manuals and guidelines in place at SONGWECOM and District Councils.
- Operational physical resources in place at SONGWECOM and targeted District Councils.
- SONGWECOM human resources capital and staff capacity gradually built in line with the Human Resources and Staff Development Plan (HRSDP) but initially with the current and updated 2022 Human Resources Management and Administrative Procedures Manual (HRMAPM).
- SONGWECOM targeted District Council staff capacity is built in their responsibilities.

INSTITUTIONAL REFORM	CORPORATE CAPACITY	TECHNICAL CAPACITY	DISTRICT COUNCIL CAPACITY
Reviewed, updated, and adopted SONGWECOM institutional governing documents in place: Policy, Laws, Convention, OOP, HRSDP, Business Plan, M&E, Charter.	Adopted CPR Strategy and Conflict and Negotiation Management (CNM) strategy.	FFEWS and HYDROMET manuals and guidelines in place	Streamlined stakeholder and community participation manual and guidelines.
Staff positions filled in line with HRSDP/HRMAPM for corporate management with a complete hierarchical supervision and management structure.	Updated and adopted financial and budgeting reporting manuals.	IWRM/IUWM and Climate Change Adaptation manuals and guidelines in place.	Streamlined work plan, budgeting, and progress report framework for District councils in place.
Approved and adopted RMS	Updated and adopted administrative rules and procedures.	MoUs for monitoring and information exchange	Adequate office facilities for district focal points.
Adequate funds mobilised for SONGWECOM core functions and SRBDP implementation.	Updated manuals, guidelines and procedures adopted for leadership and organizational change management.	Monitoring and information management system for FFEWS and HYDROMET functioning.	District staff trained on > SONGWECOM programs and project work planning, budgeting, and progress reporting.
CoM and JSC members oriented in corporate governance and management principles and practices.	Office space and resources/facilities per staff head compared with feasibility study.	Secretariat staff trained on: IWRM/IUWM/Climate change adaptation.	Stakeholder and community engagement.
	Secretariat staff trained on i) annual work planning, budgeting, and progress reporting; ii) project management	Secretariat staff with specialized professional certificate recognized and issued by professional bodies.	

Figure 10. ICBP output indicators

Table 15. M&E Framework for ICBP objective & outcomes

Objective & Outcomes	Results Indicators	Baselines	Target Period				Remarks
			2024/25	2025/26	2026/27	2027 & beyond	(Means of verification/ Assumptions/Risks)
Objective							
Well-resourced SONGWECOM institution with full capacity to carry out its mandate and responsibilities including SRBDP implementation and its infrastructure operations and maintenance	% of amended Convention defined core mandates and responsibilities fulfilled/ undertaken % of SPRDP and related programmes delivered	20% (Qualitative estimated based on interim or first phase of staffing and CNA) 10% of SPRDP and related programmes delivered with SRBDP report			By 2026 100% of core functions undertaken 20% of SPRDP and related programmes delivered with SRBDP Phase I works and design studies contracts signed	By 2033 100% of SRDP implemented	Means of verification: M&E performance and progress reports Assumptions: availability of technical and financial assistance for strengthening SONGWECOM institutional establishment and SRBDP Risks: funds and budgetary support delays
Outcomes							
1. Robust SONGWECOM corporate governance and management establishment that is self-supported technically and financially	1.1 SONGWECOM governance framework in place supported by firm policy and legal framework fit for SONGWECOM’s mandate of Transboundary RBO with mandate of joint investments. (yes/no) 1.2 SONGWECOM generates funds for its operations (yes/no)	1.1 No. 5% with HRMAPM 1.2 No. 0%.		1.1 Yes by 2025 governance and management framework in place		1.2 Yes by 2033 technically and financially autonomous	Means of verification: Reduction or cutting of donors’ support to SONGWECOM and reports on. Assumptions: policy, legal and institutional reforms, OOP, HRSDP and Business Plan are adopted and implemented and funds available Risk: still 100% dependent on donors and partners’ financing SRBDP which can be withdrawn Assumptions: CoM committed to review and amended the SONGWECOM Convention and continue to provide finance for sustaining core functions until self-supported

Objective & Outcomes	Results Indicators	Baselines	Target Period				Remarks (Means of verification/ Assumptions/Risks)
			2024/25	2025/26	2026/27	2027 & beyond	
							SONGWE COM autonomous will come after dams and hydropower plants are functioning and generating income by 2033.
2 Administrative, technical and management systems and tools in use and facilitating daily operations at SONGWE COM and underpinning participatory transboundary water management	2.1 Corporate operations: 2.1.1 Adequate financial and administrative practices (yes/no) 2.1.2 Annual HR development and Staff appraisal reporting (yes/no) 2.1.3 Regular branding, information, and website dissemination for transparency, accountability and public engagement and support (yes/no) 2.2 Technical operations and services: 2.2.1 Adequate hydromet data provided to advise the two Parties and make informed and transparent decisions (yes/no) 2.2.2 FFEWS data timely disseminated to minimise human, physical infrastructure, and property damages (yes/no)	2.1 No. Corporate operations and services are under development. 2.2 No. Inadequate capacity for technical operations and service.			2.1 Yes by 2026 adequate corporate systems and reporting in line with national reporting regulations and best practices. 2.2 Yes by 2026 adequate corporate systems and reporting in line with SADC transboundary RBOs best practices		Means of verification: 1. Annual financial and budget statements 2. Public and stakeholder meeting reports 3. Stakeholder interviews and questionnaires 4. MIS data 5. Consistency between transboundary and national basin IWRM plans 6. Annual work plans and progress reports
3 Adaptive capacity to carry out SONGWE COM core mandates and SRDBP implementation	3.1 Adequacy of performance, progress and impact M&E and lessons learnt reports (Adequate/Inadequate)	3.1 Inadequate. institutional capacity and M&E framework under development		3.1 Yes by 2025 annual performance, progress and impact M&E reports are produced and inform annual work plans			Means of verification: 7. Performance, progress, and impact M&E reports 8. Experience notes and 9. Policy briefs with best practices 10. Annual work plans

Table 16. M&E Framework for ICBP outputs

Outputs	Milestone/Result indicators	Baseline of the indicators	Milestone Targets				
			2024/25	2025/26	2026/27	2027 & beyond	Remarks/Assumptions
Strategy A. Strengthening SONGWECOM institutional establishment							
A.1 Adopted SONGWECOM Updated Policy, legal and institutional governance documents	A.1 Reviewed, updated, and adopted SONGWECOM institutional governing documents in place: - Policy (yes/no) - Laws (yes/no) - Convention (yes/no) - OOP (yes/no) - HRSDP (yes/no) - Business Plan (yes/no) - M&E (yes/no) - Charter (yes/no)	A.1 No	A.1.1.1 Enacted policy, legal and institutional reform for strengthening SONGWECOM establishment A.1.3 HQ location decided by CoM	A.1.1.2 Enacted laws strengthening SONGWECOM as RBO and joint investment vehicle A.1.2 Approved OOP, HRSDP, Business Plan and M&E framework and, charter for SONGWECOM Secretariat			Means of verification: 1. Annual and quarterly progress reports 2. Approved or enacted documents 3. Review of CoM and Board of Directors members 4. CoM decisions
A.2 Recruited SONGWECOM staff in line with HRSDP for fully established SONGWECOM institution	A.2 Staff positions filled in line with HRSDP/ HRMAPM for corporate management with a complete hierarchical supervision and management structure (Adequate/Inadequate)	A.2 Inadequate	A.2.1 Complete staffing in position identified as listed in current HRMAPM	A.2.2 Complete staffing recruited as listed in HRSDP/updated HRMAPM		A.2 Complete staffing in position as listed in adopted OOP, HRSDP and functional Reviews	Means of verification: 1. Charter 2. Annual and quarterly progress reports 3. Staff count 4. Staff recruitment reports
A.3 Resources mobilised in line with the adopted Resources Mobilisation Strategy (RMS)	A.3.1 Finalised and adopted RMS (yes/no) A.3.2. Trust Fund established A.3.3. Adequate funds mobilised (from donors) for SONGWECOM core functions and SRBDP implementation (USD)	A.3.1 No A.3.2 No A3.3 AfDB/GEF contribution USD 8.0 M	A.3.1 RMS approved	A.3.2 Trust Fund established and launched		A.3.3 Increased resource mobilisation with a target of more than USD 1.04 billion raised	Means of verification: 1. Improved Annual and quarterly progress reports 2. Manuals and guidelines in place
Strategy B. Improving SONGWECOM operations for corporate services							
B.1 Adopted operational working manuals and guidelines for corporate services in place at SONGWECOM	B.1 Updated manuals, guidelines and procedures adopted: - CPR Strategy including website & marketing (yes/no) - CNM strategy (yes/no)	B.1 No		B.1.1 CPR in place and new website launched B.1.2 CNM adopted B.1.3 Financial Management			Means of verification: 1. Annual and quarterly progress reports 2. Document review

Outputs	Milestone/Result indicators	Baseline of the indicators	Milestone Targets				Remarks/Assumptions
			2024/25	2025/26	2026/27	2027 & beyond	
	- Financial and budgeting reporting manuals (yes/no) - Administrative rules and procedures (yes/no) - Procedures leadership & organisational change (yes/no)			systems & reporting in place B.1.4 Administrative rules adopted B.1.5 Leadership & organisational change manual adopted			
B.2 Acquired operational physical resources for corporate services in place at HQ and offices	B.2 Office space and resources/facilities per staff head compared with feasibility study (No of vehicles, computers, softwares, and office space (m²))	B.2 HRSDP and HRMAPM staff requirements	B.2.1 Feasibility study and construction supervision services procured	B.2.2 Contractors procured and work started B.2.3 Office equipment and inventory done		B.2 Offices and office facilities in line with HRSDP/HRMAPM staffing	Means of verification: 1. Feasibility, design, and construction reports 2. Annual work plans and progress reports 3. Visual inspection
Strategy C. Improving SONGWECOM operations for technical services							
C.1 Adopted operational working manuals and guidelines in place for technical services at SONGWECOM	C.1.1 Hydrometeorological manuals and guidelines in place (yes/no) C.1.2 IWRM/IUWM and Climate Change Adaptation manuals and guidelines in place (yes/no) C.1.3 MoUs for monitoring and information exchange (yes/no)	C.1.1 No. Under preparation by FFEWS project C.1.2 No. C.1.3 to be provided by FFEWS project	C.1.1. Manuals in place and operational C.1.3 MoU signed	C.1.2. Manuals and guidelines in place			Means of verification: 1. FFEWS reports 2. FFEWS consultant elaborates strategic actions and outputs 3. Signed MoU
C.2 Hydrometeorological monitoring and information systems operational	C.2 Hydrometeorological monitoring and information management system resourced (yes/no)	C.2 No. Under development.		C.2.1 hydromet monitoring installed with data collection C.2.2 Water quality & sedimentation system in place C.2.3 Rainfall and AWS stations installed	C.2.4 Water QA/QC system in place C.2.5 Sedimentation monitoring		Means of verification: 1. Design, construction, installation, and commissioning reports 2. Data availability from the systems % 3. Data application % 4. Visual inspection

Outputs	Milestone/Result indicators	Baseline of the indicators	Milestone Targets				Remarks/Assumptions
			2024/25	2025/26	2026/27	2027 & beyond	
Strategy D. Strengthening SONGWECOM knowledge, skills and experience development							
D.1 SONGWECOM CoM and JSC governance knowledge built with latest up to date knowledge, skills, and experience in their area of responsibility	D.1.1.1 % of CoM and JSC members oriented in corporate governance and management principles and practices	D.1.1 0 % for intended orientation kit D.1.2 0 % study tours	D.1.1 Oriented CoM, JSC and executive management team	D.1.2 Study tours completed with proven shift in knowledge			Means of verification: 1. Training reports 2. Study tour reports Assumptions: CoM and JSC general knowledge in corporate governance varies and need streamlining with mandate CoM and JSC members have high degree of general knowledge in transboundary water management and corporate governance New members needs targeted training
D.2 SONGWECOM staff capacity built with latest up to date knowledge, skills, and experience in their area of responsibility	% of Secretariat staff trained on and received certification in: D.2.1 Work planning, budgeting, reporting D.2.2 Project management D.2.3 RMS D.2.4 M&E D.2.5 IWRM/IUWM/CCA D.2.6 Water quality QA/QC D.2.7 Hydromet O&M D.2.8 Sedimentation monitoring	D.2 0% staff trained or certified	D.2.1, D.2.2, D.2.3, D.2.4 All project managers among Secretariat staff trained	D.2.5, D.2.6, D.2.7, D.2.8 Relevant Secretariat staff trained with specialised professional certificate, as and when required		Up-skilling through updated trainings & training of new staff	Means of verification: 1. Training reports 2. Staff appraisal reports Assumptions: The Secretariat staff would be available for training in 2024/25 and 2025/26
Strategy E. Improving District Council's operations; and knowledge, skills, and experience development							
E.1 Adopted Operational working manuals and guidelines in place at targeted District Councils	E.1.1 Streamlined stakeholder and community participation guidelines (SPCG) in place (yes/no) E.1.2 Streamlined work plan, budgeting, and progress report framework for District Councils in place (yes/no)	E.1.1 No E.1.2 No	E.1.1 SCPG adopted	E.1.2 Work plan, budget and progress report template adopted			Means of verification: 1. Manual and guideline documents 2. Template for work plan, budget, and progress report 3. Annual work plans and progress reports

Outputs	Milestone/Result indicators	Baseline of the indicators	Milestone Targets				Remarks/Assumptions
			2024/25	2025/26	2026/27	2027 & beyond	
E.2 Acquired operational physical resources in place at targeted District Councils	E.2 Adequate office facilities for district focal points (yes/no)	E.2.1. No. Inadequate for designated tasks		E.2.1 Vehicles procured for district level	E.2.2 Laptops procured for district involvement aligned with project mandates		Means of verification: 1. Visual inspection and verification
E.3 Built district capacity for targeted staff with latest up to date skills and knowledge in their area of responsibility	E.3 Number of district staff trained on: E.3.2 SPCG E.3.3 SRBDP incl. mentorship E.3.4 M&E E.3.5 O&M of hydromet stations (Gauge Readers)	E.3.1 – SPCG not developed	E.3.1 SPCG developed and adopted	E.3.2, E.3.3, E.3.4, E.3.5 District Council Staff trained & knowledgeable			Means of verification: 1. SCPG adopted 2. Training reports 3. Improved work plans, budgets, and progress report Assumption: Secretariat staff has knowledge and skills necessary to use and update the manuals and train district focal points and staff.

7- IMPLEMENTATION ARRANGEMENTS & BUDGET

7.1 Roles and responsibilities

The Secretariat will lead and drive the implementation of the ICBP for the Songwe River Basin Commission (SONGWECOM), with assistance from the Joint Team of Experts (JTE). They will present the ICBP to the Joint Steering Committee (JSC) who will review and recommend it for approval by the Council of Ministers (CoM). On approval of the final draft ICBP, the programme will be rolled out. The ICBP will be implemented by the Secretariat under the supervision of the JSC and the direction of the CoM, who will jointly ensure ICBP implementation according to plan.

Fundraising for ICBP implantation will be led by the Secretariat. The Secretariat shall identify staff members responsible for resources mobilisation to identify and propose loans and grants from Development Partners together with budgetary allocations from the governments of the riparian states Malawi and Tanzania. The CoM and JSC will play the role of financial guarantor from both Malawi and Tanzania with loans and grants, and act to advocate and solicit budgetary allocations from two governments and their ministries of finance.

The Secretariat will initiate, plan, coordinate, and participate in the procurement of consultants, contractors, suppliers, and other service providers to implement capacity building strategies and conduct training programs. The Secretariat will also initiate processing and preparation of policies and legislations for strengthening SONGWECOM's institutional establishment, including vetting drafted policies and bills through JSC and CoM, and ensuring the bills have been passed into legislation. Such improvements to policies and legislations are needed to prepare and vet the Organisational and Operational Plan (OOP), Human Resources and Staff Development Plan (HRSDP), the updated Business Plan.

Furthermore, the Secretariat has a key role in initiating and participating in capacity building strategies and training programmes of the District Councils, with training being done and conducted by the Secretariat staff themselves.

Finally, the Secretariat is responsible for the Monitoring and Evaluation (M&E) of the ICBP as detailed in the M&E framework of the preceding chapter. Mid-term reviews are proposed to be undertaken by external consultants for full transparency. Several options for training service providers were considered and evaluated. Arrangements have been made with providers for the first set of training and who confirmed availability. They include the Mzuzu University's Southern African Development Community (SADC) Centre of Excellence in Water Resources Management in Malawi, and the Mbeya University of Science and Technology in Tanzania.

However, the ICBP calls for context-specific training and coaching at SONGWECOM. Knowledge and skills development provided by training institutes may not meet the criteria for all training modules in the TP. Certain training will need to be provided by consultancy training services. Procurement of consultancy services will allow for greater flexibility and development of customisable learning methods. These methods include classroom trainings, Trainer of Trainer, on-the-job learning, workshops, field- and study visits, among others.

It is further intended that trainers (mainly consultants) will provide training to instil necessary skills among the Secretariat staff to perform their responsibilities independently, but also to make them teachers and trainers themselves. Secretariat staff should therefore ensure transferable skills development for new and among existing staff, as well as assume the task of training and coaching District Council staff.

7.2 Work plan

The ICBP Work plan with a timeline and expected outputs is presented in Figure 11. The Work plan needs to be updated as SONGWECOM advances its staff recruitment drive and progresses with the SRBDP. The detailed implementation arrangements and time plan for the SONGWECOM Training Programme (TP) is provided in Annex 3 and in its appendices. The promotion of networking among education and training service providers and users in both Malawi and Tanzania, as well as in the region, are important for the implementation of training activities. In this regard, steps have been taken during the ICBP development process to develop a collaborative framework.

7.3 Budget

The budget estimate and forecast for implementation of the ICBP are preliminary cost estimates and include the cost estimates of the TP.

The total budget estimate and forecast for implementing the ICBP in the next three years is approximately USD 13.41 million. A total of USD 1.38 million is required for the first year of implementation, USD 4.31 million for the second year, and USD 7.65 million for the third year.

The detailed ICBP budget estimate and forecast for capacity building activities per the strategic actions are itemised and provided in Table 17. Importantly, cost estimates need updating as detailed design and feasibility studies are conducted (such as for relocation and construction of office premises and facilities). In addition, there are several capacity building strategies that do not have data and information on implementation costs. Specially design studies and those from final reports of the ongoing production of the Songwe River Basin Transboundary Diagnostic and Strategic Action Plan (TDA/SAP), the Flood Forecasting and Early Warning System (FEWS), and the Information and Communication Technologies/ Management Information System/ Geographical Information Systems / Resources Mobilisation Strategy (ICT/MIS/GIS/RMS).

The training budget is also preliminary and incomplete as the needs of Secretariat staff will be established when they are in position, first as staffed according to the 2022 Human Resources Management and Administrative Procedures Manual (HRMAPM) and secondly, as an improved HRMAPM is implemented with some SONGWECOM staff for implementing core purpose functions are in place, and lastly when the SRBDP is fully completed. The specialised training also cannot be budgeted for as there are too many uncertainties. Budget requirements and forecasts for training that cannot be estimated have been reconciled in the budget's contingency allowances. However, the preliminary nature of the budget estimates and forecasts remain and would need to be updated as data and information are confirmed and become available for each year of budgeting and budget allocation.

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Capacity Building Strategic actions	Implementaion period																				
	2024				2025				2026				2027				& beyond				
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3		
Strategy E. Improving District Council's operations, knowledge, skills and experience development (Improving support capacity)																					
E.1 Development of operational working manuals and guidelines at targeted District Councils																					
E.1.1 Develop and operationalise stakeholder and community participation manual and guidelines, SCPG																					
E.1.2 Develop, and operationalise work plan, budgeting, and progress report framework for District Councils																					
E.2 Acquisition of operational physical resources at targeted District Councils																					
E.2.1 Procure vehicles and accessories for district focal points																					
E.2.2 Procure computers, laptops and related facilities and internet services for district focal points																					
E.3 Building district staff capacity with up to date skills and knowledge																					
E.3.1 Develop training material on the use of stakeholder and community engagement & participation manual and guidelines, SCPG																					
E.3.2 Conduct coaching in the sue of the SCPG																					
E.3.3 Conduct training, coaching and mentorship in SRBDP and SONGWECOM projects for District Council staff																					
E.3.4. Conduct M&E staff technical training for all staff related to M&E activities at district and community level																					
E.3.5 Training of local community members and Gauge Readers on minimising monitoring errors & preventing vandalism																					

Figure 11. ICBP Work Plan

Table 17. ICBP budget per capacity building strategic action & input.

Item	Cost centre or description	Cost Estimates and Forecasts in USD			
		YEAR 1 Estimate	YEAR 2 Forecast	YEAR 3 Forecast	Three-year Total Budget Forecast
1	Strengthening SONGWECOM institutional establishment				
	1.1 Development of SONGWECOM updated policy and legal instruments	350,000	330,000	150,000	830,000
	1.2 Development of OOP, HRSDP, Business Plan and M&E framework	150,000	200,000	250,000	600,000
	1.3 Functional review and charter for SONGWECOM strengthening		75,000	255,500	330,500
	Sub-total	500,000	605,000	655,500	1,760,500
2	Secretariat physical asset acquisition, operation, and maintenance				
	2.2 Pre-feasibility studies for office buildings and facilities	250,000			250,000
	2.3 Design and supervision for office building and facilities		500,000		500,000
	2.4 Office Construction and facilities acquisition		2,500,000	5,000,000	7,500,000
	2.5 Vehicles and accessories acquisition			1,000,000	1,000,000
	2.6 Office furniture and accessories			50,000	50,000
	Sub-total	250,000	3,000,000	6,050,000	9,300,000
3	Financial & administrative management system acquisition & O&M				
	3.1 Financial management and administrative management packages	17,000	15,000	10,000	42,000
	3.2 Computers and accessories	16,000	20,000	28,000	64,000
	3.3 Operation and maintenance of office equipment and licences	2,000	3,800	4,350	10,150
	Sub-total	35,000	38,800	42,350	116,150
4	Training programme				
	4.1 Corporate governance and management training	38,000		45,000	83,000
	4.1a CoM, JSC, JTE and Secretariat's executive management team study tours to Zambia, Zimbabwe, and Mozambique	28,400	55,000		83,400
	4.2 Technical and corporate services training	32,800	45,000	75,000	152,800
	4.3 District Councils' staff training	20,700	10,000		30,700
	4.4 Training programs from FFEWS, TDA/SAP and ICT/GIS/MIS/RMS	50,100	77,000	85,000	212,100
	Sub-total	170,000	187,000	205,000	562,000
5	Establishing and Operationalising the SONGWECOM Trust Fund (Technical Assistance)				
	5.1 Technical Assistance Consultancy to develop the Business Case and Feasibility Assessment for establishing the Trust Fund, with targeted support on all aspects (from governance to registration to communication).	300,000	90,000		390,000
	Sub-total	300,000	90,000		390,000
	TOTAL	1,255,000	3,920,800	6,952,850	12,128,650
	<i>10% contingency</i>	<i>125,500</i>	<i>392,080</i>	<i>695,285</i>	<i>1,212,865</i>
	TOTAL	1,380,500	4,312,880	7,648,135	13,341,515

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ANNEXES

- Annex 1 Capacity Needs Assessment for SONGWECOM**
- Annex 2 Capacity Building Strategy for SONGWECOM**
- Annex 3 Training Programme for SONGWECOM**