

# ZAMBEZI WATERCOURSE COMMISSION



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## REVIEW OF THE ZAMCOM CAPACITY BUILDING NEEDS ASSESSMENT STUDY and DEVELOPMENT OF A CAPACITY DEVELOPMENT PLAN

### FINAL REPORT

Prepared by

Elton Laisi  
3/95 Beit Road, Off Mtunthama Drive  
P. O. Box 30157, Capital City  
Lilongwe 3  
MALAWI

**Contacts:**

**Tel:** +265 (0) 999 844 386;

**Email:** [laisi.elton@gmail.com](mailto:laisi.elton@gmail.com);

+265 (0) 888 304 386

[elton.laisi@cedrisa.org](mailto:elton.laisi@cedrisa.org)

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## ACRONYMS AND ABBREVIATIONS

BASC	Basin-wide Stakeholders Steering Committee
CBNAS	Capacity Building Needs Assessment Study
CD	Capacity Development
CDIP	Capacity Development Implementation Plan
CDP	Capacity Development Plan
CoM	Council of Ministers
GIS	Geographic Information System
IWRM	Integrated Water Resources Management
RBO	River Basin Organisation
SADC	Southern African Development Community
SARDC	Southern African Research and Documentation Centre.
ZACPLAN	Zambezi River Basin Action Plan
ZAMCOM	Zambezi River Basin Commission
ZAMSEC	Zambezi River Basin Secretariat
ZAMSTRAT	IWRM Strategy for the Zambezi River Basin
ZAMTEC	Zambezi River Basin Technical Committee
ZAMWIS	Zambezi River Basin Water Information System
ZRB	Zambezi River Basin
ZSP	Zambezi Watercourse Strategic Plan

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## EXECUTIVE SUMMARY

The Zambezi Watercourse Commission (ZAMCOM) is an intergovernmental organisation that was established with the signing in 2004 of the Agreement on the Establishment of the Zambezi Watercourse Commission and, came into force in 2011. ZAMCOM is a River Basin Organisation that fosters cooperation among eight Riparian countries towards the sustainable management and development of the natural resources of the Zambezi River Basin (ZRB). In order to strengthen this cooperation among the Member States, the Agreement specifically provides clear functions of the organisation that have to be implemented and fulfilled by the Commission.

The Commission is also entrusted with the responsibility of ensuring that there is cooperation with the Southern African Development Community (SADC) institutions as well as other international and national organisations; that it promotes and assists with the harmonisation of national water policies and other legislative instruments; undertaking other function that may arise within and/or among Member States from time to time; and to promote the application and development of its Agreement.

Until to-date, the above functions have been carried out mainly by the Technical Committee and the Secretariat while also ad hoc specialist groups have been called upon to execute specific functions including consultancies. The execution of this long list of functions however, requires special skills, expertise and knowledge in various disciplines so that such functions can be competently implemented. Since coming into force in 2011, the Commission has looked forward towards improving its own capacity that can therefore skilfully fulfil its mandate.

As a follow-up to that desire of enhancing capacity of the organisation, a Capacity Building Needs Assessment Study (CBNAS) was undertaken by the Commission in 2016 that involved collecting stakeholder views on the needs to successfully implement the provisions of the Agreement. This study was carried out in all the Member States of the Commission and the desired information catalysed the preparation of this Capacity Development Plan (CDP). The Capacity Development Plan is intended to stand as a reference document towards enhancement of skills and knowledge within the organisation. Skills development will involve provision of short to medium-term training in various fields of expertise. These short to medium-term training sessions are appropriate since they will be extended to already-serving officers within the organisation who cannot be away from work for too long.

The Introduction of this CDP is an elaborate description of the functions and governance structure of ZAMCOM on which this Plan is founded. It goes further to present the relevance of this Plan by articulating its significance and need. The objectives of the CDP assignment are explained including its critical outputs.

The second part of the document is a narrative on the CBNAS that was carried out in 2016 upon which this CDP is built. In this section, the document explains the key findings of that undertaking that were found of relevance to developing a CDP for ZAMCOM.

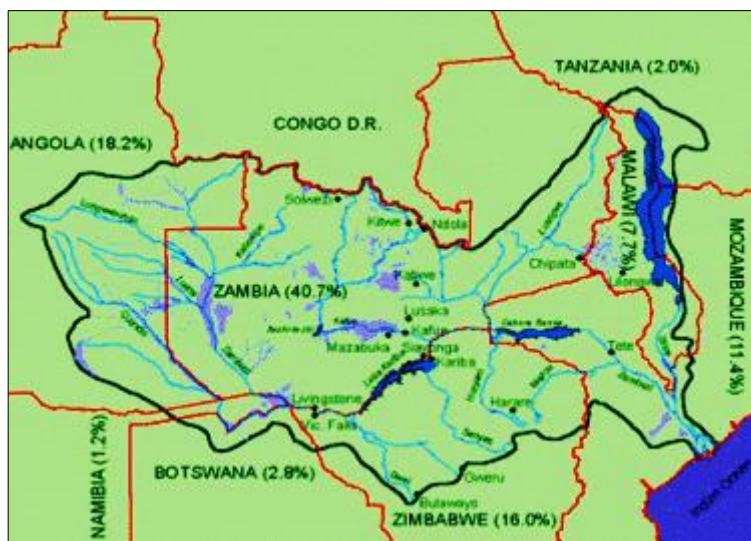
The third part is the Plan considers the identified capacity deficiencies of the CBNAS of 2016 and discusses the capacity development activities that have to therefore go into the Plan. The Consultant takes special interest to link the activities to the functions of the ZAMCOM Agreement so that the activities are not irrelevant. Prioritisation of the activities has also been established and these have been used in casting the Plan.

The fourth section of the document is the Capacity Development Implementation Plan (CDIP) which takes into account discussion on the governance structure of ZAMCOM and its needs. Each activity is tied to its objective; the rank it holds among other activities in terms of priority; the resources are required in order to implement that activity; the expected outcomes after implementing the activity; the target group to benefit; the proposed implementing agencies; indicators that the activity is receiving attention within the period of implementation; the cost of implementing it and the total budget for the duration of the activity.

The fourth section of this document is followed by the Capacity Development Strategy for ZAMCOM where its strategic vision, objectives, target groups for capacity development, focal areas and how the strategy can be implemented are discussed. This is further followed by the Monitoring and Evaluation Plan appearing as Section 6 and the conclusion and recommendations are presented in Section 7 while Section 8 provides some references relevant to this work. Five Annexes wind up the content of this document.

## 1. INTRODUCTION

The Zambezi River Basin Commission (ZAMCOM) was conceived in the 1980s when it became apparent that integrated management and development of the natural resources of the river basin would have sustained social and economic as well as environmental benefits to the people of the basin. Specifically, the idea was coined in 1987 when political giants of that time established the Zambezi River Basin Action Plan (ZACPLAN). This idea would later grow and bring together eight independent states that are riparian to the basin to form the Zambezi River Basin Commission. ZAMCOM is one of the major river basin organisations (RBOs) in Africa. It was established in 2014 as an intergovernmental organisation that brings together Angola, Botswana, Malawi, Mozambique, Namibia, Tanzania, Zambia and Zimbabwe (Map 1).



Map 1: The Zambezi River Basin

The basis for the cooperation is the Agreement on the Establishment of the Zambezi Watercourse Commission which was signed in 2004 and came into force in 2011. The Commission is headquartered in Harare, Zimbabwe.

### 1.1 Vision and Mission

ZAMCOM's vision and mission draw from regional aspirations, the Integrated Water Resources Management Strategy and Implementation Plan for the

Zambezi River Basin; and the ZAMCOM Agreement. The vision envisages a future characterised by equitable and sustainable utilisation of water for social and environmental justice, regional integration and economic benefit for present and future generations. In pursuit of that future, ZAMCOM strives to promote the equitable and reasonable utilisation of the water resources of the Zambezi Watercourse as well as the efficient management and sustainable development thereof.

### 1.2 Functions of ZAMCOM

The functions of ZAMCOM are clearly spelt out in its Agreement (ZAMCOM, 2004) and these are to:

- (a) Collect, evaluate and disseminate all data and information on the Zambezi Watercourse as may be necessary for the implementation of this Agreement;

- (b) Promote, support, coordinate and harmonise the management and development of the water resources of the Zambezi Watercourse;
- (c) Advise Member States on the planning, management, utilisation, development, protection and conservation of the Zambezi Watercourse as well as on the role and position of the public with regard to such activities and the possible impact thereof on social and cultural heritage matters;
- (d) Advise Member States on measures necessary for the avoidance of disputes and assist in the resolution of conflicts among Member States with regard to the planning, management, utilisation, development, protection and conservation of the Zambezi Watercourse;
- (e) Foster greater awareness among the inhabitants of the Zambezi River Basin of the equitable and reasonable utilisation and efficient management and sustainable development of the resources of the Zambezi Watercourse;
- (f) Cooperate with the institutions of SADC as well as other international and national organisations where necessary;
- (g) Promote and assist in the harmonisation of national water policies and legislative measures;
- (h) Carry out such other functions and responsibilities as the Member States may assign from time to time; and
- (i) Promote the application and development of this Agreement according to its objectives and the principles referred to under Article 12.

The above nine functions of ZAMCOM that appear in its Agreement are therefore the basis of preparing the CDP with specific focus on what areas need enhancing, who has to attend to those areas, how long they are likely to take, nature of intervention and an indicative cost of that intervention.

### **1.3 Governance structure of ZAMCOM**

ZAMCOM has three key organs. The highest organ is the Council of Ministers (CoM) which comprises Ministers of Water from the Riparian States. It is ZAMCOM's supreme decision making body. The next organ is the ZAMCOM Technical Committee (ZAMTEC) which is tasked with advising Council and implementing policies and decisions of Council. The ZAMCOM Secretariat (ZAMSEC) provides technical and administrative services to Council under the supervision of ZAMTEC. The schematic form of the institution is as seen in Figure 1.

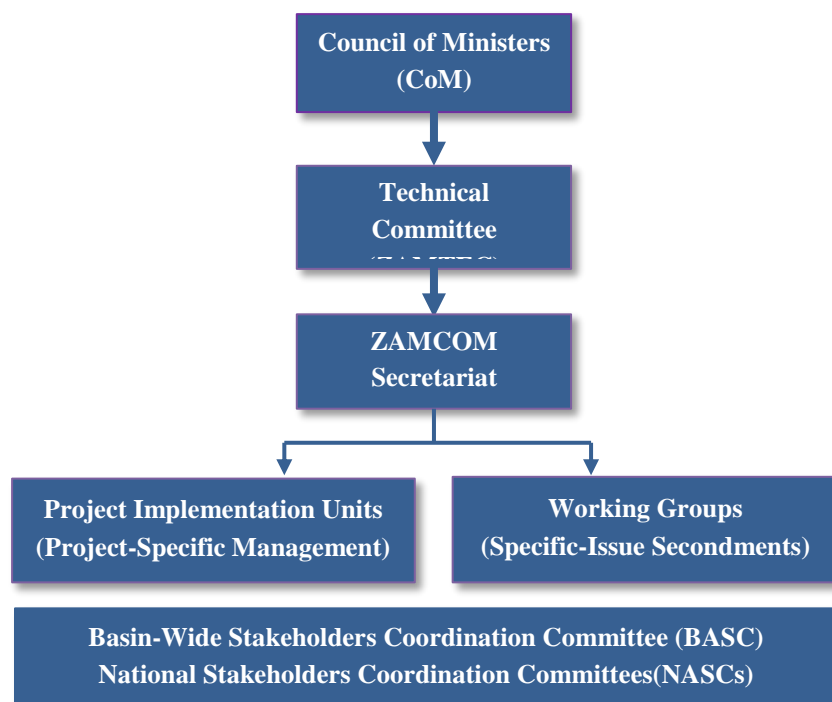


Figure 1: Governance Structure of ZAMCOM (2018)

Within the structure, are also units that relate specifically to programmes or projects carried out by the institution. The programme units are also located within the Secretariat's premises in Harare. In addition, there may also be experts working on specific areas who will be seconded from institutions outside ZAMCOM. One such working group is the Basin Steering Committee (BASC). The BASC is a working group and platform that facilitates stakeholder input into the Zambezi

Basin processes. The main purpose of the BASC is to serve as the nucleus for consultations and support in the implementation of the Strategic Plan for the Zambezi Watercourse (ZSP).

The BASC is essential in operationalising stakeholder participation principle and in the effective dissemination of ZAMCOM decisions and values through the established National Stakeholder Steering Committees (NASCs). It spearheads the convening of a wider Zambezi Basin stakeholder forum at which a wider spectrum of stakeholders from the basin participate in both thematic and general dialogue. Its membership includes NASC contact points and partner organisations active in the basin at regional level.

The NASCs, established in each of the eight Riparian States are stakeholder outreach mediums at country-level whose main responsibilities are primarily to provide a platform through which national consensus is to be reached on water resources development and management issues within the Zambezi River Basin. In turn, the NASCs provide national input on decisions and issues dealt with by the ZAMCOM Secretariat, whilst serving as an avenue for disseminating the ideas, activities and outputs of the Secretariat to stakeholder institutions and interest groups in the home country.

Based on the realisation that there are a wide and diverse range of needs and demands from the people of the basin, ZAMCOM must therefore live to the test of these needs and demands. In order to fulfill its mandate, it was recognised that capacity was lacking and therefore enhancement of the same is essential. To accomplish this desire a Capacity Development Plan is necessary so as to prepare and establish how the various functions of the ZAMCOM Agreement can be implemented and fulfilled.

## **1.4 Rationale and justification for a Capacity Development Plan**

Implementation of the ZAMCOM Agreement becomes a challenge when there is no tool available with which to operationalise the individual functions appearing therein. Currently much of the activities relating to the Agreement are carried out in ad hoc manner with no reference to time frames, indicative costs, stakeholder participation, and most importantly, evaluation of outputs and outcomes achieved for any activity. In this regard, there is need for skills development and provision of knowledge necessary to carry out specialist activities defined in the Agreement.

The development of a CDP therefore is important in that it will be a reference point for implementing various activities as elaborated by the Agreement. The results of the 2016 CBNAS are a useful benchmark for taking another step towards enhancing the operations and efficiency of ZAMCOM. The overall purpose of the CDP is to enhance the performance of the relevant institutions and bodies linked to ZAMCOM to effectively deliver results and contribute to its overall objective, that being “... the equitable and reasonable utilisation of the water resources of the Zambezi Watercourse as well as the efficient and sustainable development thereof.”

## **1.5 Objective of the CDP Assignment**

The principal objective of this CDP is to analyse and define the human, institutional and organisational capacity building needs for ZAMCOM and suggest the required actions that will address the capacity challenges (See Annex 1).

### ***1.5.1 Specific Objectives***

The following are the specific objectives of this assignment:

- To scope the capacity development needs required to enhance the performance of ZAMCOM;
- To clearly identify the areas requiring capacity development;
- To determine the capacity development needs;
- To prioritise the capacity development needs; and
- To prepare a costed Capacity Development Plan.

In bringing the above specific objectives on board, it has been found necessary to focus specifically on the functions of the ZAMCOM Agreement so that a clear issue-based Plan is put in place. Even though it has been found that there are many stakeholder needs following the 2016 CBNAS and the 2018 Rapid Consultations, only those needs that answer to the pronouncements of the Agreement have been considered in this Plan.

### ***1.5.2 Expected Output of the Assignment***

The expected output of this analysis that has its basis on the CBNAS of 2016 and the Rapid Consultations is a Capacity Development Implementation Plan (CDIP).



## 2. REVIEW OF 2016 CAPACITY BUILDING NEEDS ASSESSMENT STUDY

The 2016 Capacity Building Needs Assessment Study (Chapeyama, 2016) can be regarded as a prelude to undertaking a capacity development exercise for ZAMCOM. This study which was carried out in the Member States pointed to the fact that cooperation in the management of water resources of the Zambezi River Basin would yield more benefits to the riparian countries and therefore such cooperation needs to be strengthened and enhanced. As one of the requirements in fulfilling this desire, it was necessary to identify and address the challenges that exist at the moment at all levels of the organisation. It was acknowledged that cooperation was being hindered by a number of factors including inadequate capacity at organizational, institutional and individual levels.

The findings of the CBNAS of 2016 related to the governance levels of ZAMCOM as narrated earlier in Section 1.3 of this document. A summary of the findings from Member States irrespective of level is presented below.

- (a) Members of ZAMTEC need to be exposed to institutional arrangements, operations and activities associated with river basin organizations in the region and beyond in order to customise such examples to the Zambezi River Basin;
- (b) The ZAMCOM Secretariat should be reinforced by affording it the opportunity and knowledge in interpreting international law, continental and regional protocols and negotiation skills since the personnel in the Secretariat are mandated with the functions of harmonising national water policies and laws at member state level.
- (c) There should be training of personnel in the Secretariat and National Water Resources Managers in natural resources valuation;
- (d) There is need to institutionalise basin-wide strategic planning particularly through IWRM Principles;
- (e) Water resources data gathering and information management should be enhanced and must be efficient and effective.
- (f) The three E's of IWRM and particularly environmental sustainability need to be institutionalised in water resources management;
- (g) Provide training in Project preparation skills and financial mobilization;
- (h) There must be deliberate measures to promote ownership of the initiatives of ZAMCOM by seconding staff to other RBOs or institutions with similar functions;
- (i) Measures should be taken to promote and strengthen stakeholder engagement in water resources management within the Zambezi River Basin.

The above identified gaps are some of those that stakeholders narrated during the survey and fall within the three levels of ZAMCOM: Council of Ministers (CoM), ZAMTEC and ZAMSEC. In wanting to develop the CDIP, specific gaps should be allocated to each level so that actors, time-frames, indicators and costs are appropriately identified and assigned to each gap. These gaps or needs however, have to relate to the nine functions outlined in the ZAMCOM Agreement.

## 2.1 Administrative

Several gaps or challenges were identified for each level during the 2016 CBNAS and these gaps will be used in building up a CDIP. The gaps have also been fortified by findings from the Rapid Consultations that the Consultant undertook with stakeholders in some of the Member States.

### 2.1.1 Council of Ministers Level

At the CoM level, five areas were identified as needing attention in order to improve on the performance and output of ZAMCOM. Since CoM functions and activities are based on the inputs from ZAMTEC and ZAMSEC, the gaps do therefore relate to the two levels that will feed the policy-making body on how it takes its decisions. The findings are presented in tabular form as seen in Table 1.

**Table 1: Capacity Development needs to support ZAMCOM**

No.	Identified Capacity Need	Area where Need is required	Functional purpose of Need
1.	Training in Strategic Planning and Organisational Development.	Executive Secretary.	Incumbent has to have the prerequisite knowledge in these areas in order to operationalise the functions of ZAMCOM.  Currently, this position is supplemented by a Technical Advisor.
2.	Training in Project Management.	Information, Communication and Partnerships Programme Manager.	Training should be provided in International Law, Conflict Prevention and Dispute Resolution as this is a crucial position having a range of responsibilities if basin-wide cooperation is to be strengthened.
3.	Training in Conflict Prevention and Negotiation Skills.	Water Information System Project Manager.	Necessary for information sharing across countries.
4.	Training in International Law	Strategic Planning Manager.	This is required for purposes of integrated planning within the Zambezi River Basin.
5.	Training in general management.	Administration, Finance and Human Resources Officer	For the effective management of administrative and financial functions within the Secretariat.



The above needs are necessary for the staff contingent of ZAMSEC in order to allow it obtain the necessary knowledge and skills to deal with international obligations within the ZRB and effectively support the activities of ZAMCOM.

### 2.1.2 ZAMTEC and ZAMSEC Level

According to the study, the main gaps that relate to ZAMTEC and ZAMSEC are international water law, dispute resolution and conflict prevention, economic valuation of natural resources as they apply to the ZRB, strategic planning, skills in negotiation and consultation processes. Table 2 below analyses where these are needed and who needs to acquire the necessary training and instruction in those areas.

**Table 2: Identified Capacity Development gaps within ZAMTEC and ZAMSEC**

No.	Identified Capacity Need	Area where Need is required	Functional purpose of Need
1.	Training in International Water Law.	Programme Managers for all the programmes at the Secretariat.	Personnel should have necessary skills to articulate and facilitate the implementation of the principles of international law as they apply to transboundary natural resources management.
2.	Training in Conflict Prevention and Dispute Resolution.	The Executive Secretary. Programme Managers for all the programmes at the Secretariat.	Knowledge of and skills in conflict prevention and dispute resolution are necessary in order to foster cooperation in the management of transboundary natural resources including water, which have the potential to cause conflicts among nations.
3.	Training in Economic Valuation of water-related resources.	Programme Manager for Strategic Planning. Programme Manager for ZAMWIS.	Knowledge in the economic value of the resources of the Zambezi River Basin is important and capacity must be available to estimate the gross value of such assets and reveal the development potential within the basin.
4.	Training in Basin-wide Strategic Planning.	Programme Managers for all the programmes at the Secretariat.	Strategic Planning is important and necessary for multi-sectoral development planning at basin level. Strategic Planning will take into account the 3 E's of IWRM.
5.	Course in Negotiation Skills.	Executive Secretary. Programme Managers for all the programmes at the Secretariat.	While cooperation is being promoted at the larger SADC level as well as the Zambezi River Basin level, countries undertake their planning at the national level as sovereign states. Similarly, should there be disagreements over natural resources

			use or development, negotiations will be necessary to prevent conflict among Member States.
6.	Course in Stakeholder Engagement and Consultation processes.	Programme Manager for Information, Communication and Partnerships	General management skills are necessary and considering that their functions extend to Member States, new ideas and knowledge are required to enhance their skills.

## 2.2 Organisational

The ability to execute ZAMCOM programmes and activities at the national level and the sustainability of these programmes and activities pretty much depends on the available human, financial and technological capacity at that level. The identified institutional capacity gaps at the country level include economic valuation and assessment of natural resources, Principles of IWRM and environmental sustainability, data and information sharing, institutional development and river basin management and planning.

### 2.2.1 Institutional CB Needs at Member State Level

Table 3 presents the identified institutional capacity development challenges at the national level.

**Table 3: Identified Institutional Capacity Development gaps at the National Level**

No.	Identified Capacity Need	Area where Need is required	Functional purpose of Need
1.	Training in Principles of International Law	Directors of Water Resources. International Water Units personnel.	Training of the Directors of water resources Departments and international water experts responsible for water utilities in international law is necessary and critically important because it will enable them to be on the same page in dealing with issues of cooperation within the basin especially as to how national legal instruments relate to each other.
2.	Economic Valuation and Assessment of Resources	Water Resources Planners; Hydrogeologists; Hydrologists; Water Resources Managers; Economic Planners;	Knowledge in the economic value of the resources of the Zambezi River Basin is important and capacity must be available to estimate the gross value of such assets and reveal the development potential within the basin.

		Development Planners.	
3.	Water Resources Data and Information Management	Water Resources Planners; Hydrologists; GIS Technicians.	As one unit, development of water resources and related infrastructure within the Zambezi Basin requires the sharing of hydrological and other data. Sharing of data within the basin will strengthen the bonds of cooperation among the Member States.
4.	Entrenchment of IWRM Principles within sectors and Environmental Sustainability.	Water Resources Planners; Hydrologists; Agricultural and Environmental Planners; Energy Planners.	To ensure sustainability of natural resources programmes and projects, it is important that Heads of Departments and experts entrench the principles of IWRM in their departments. This will lead to integration across sectors and promote environmental sustainability.
5.	Institutional Development.	International Water Units personnel; Hydrologists; Rural Development Planners.	Training alone may not necessarily change the way institutions perform and function as change is always difficult to manage. In this regard, capacity building will be required in transforming institutions to new levels of thinking and doing business through a change process.
6.	Application of Integrated River Basin Management and Planning.	Regional Development Planners; Technical Officers from Water Resources Management Authorities; Environmental Planners.	ZAMCOM should promote the adoption of basin approaches to development planning in the basin through encouraging national entities to break out of the usual compartmentalisation that they operate within and adopt integrated planning.
7.	Knowledge and skills in Project Preparation and Financing	Economic Development Planners; National Planning Authorities; Water Resources Development Planners.	Most national and river basin entities fail to attract financing for their natural resources infrastructure because they lack the knowledge and skills to produce bankable project proposals. Therefore, it is necessary that training is offered to economic development planners, national planning officials and water resources development planners in project preparation.

### 2.2.2 Individual CB Needs at Member State Level

Table 4 presents the identified institutional capacity development challenges at the individual level within Member States.

**Table 4: Identified Individual Capacity Development gaps within Member States**

No.	Identified Capacity Need	Area where Need is required	Functional purpose of Need
1.	Provision of training in International Law.	Water Resources Managers	Transboundary cooperation in water resources management;  To guide the development of regional Protocols and direct the operations of river basin organisations;  Promote the harmonisation of legal procedures for managing waters resources across national boundaries.
2.	Provision of training in Conflict Resolution.	Water Resources Managers.	Develop and sharpen skills in conflict resolution to avoid conflicts or minimise such within the basin should they arise.
3.	Skills in project preparation and financing.	Water Resources Managers	Develop skills in project preparation to attract financing in water resources infrastructure development.

The findings during the CBNAS of 2016 presented in Tables 1 – 4 above are some of those gaps that stakeholders wished could be addressed in answering to the needs of ZAMCOM. However, the Consultant was required to conduct a rapid consultation with stakeholders within the basin to add upon what had already been gathered. From the findings in Tables 1 – 4, some of the needs relate to the functions of the ZAMCOM Agreement while others are but general statements that can only be embedded in some of the functions of the Agreement. Before analysing which Capacity Development gap(s) refer(s) to a particular function in the ZAMCOM Agreement, additional information was also obtained from stakeholders as pointed out earlier and as discussed in Section 3.

### 3 RAPID CONSULTATIONS AND PRIORITISATION

In accordance with the requirements of the assignment, the Consultant prepared a questionnaire to test current thinking with respect to the capacity development needs for ZAMCOM. The questionnaire tested the needs at the Council of Ministers level, the ZAMTEC and ZAMSEC level, Member State level and at the individual level within the Member States. The questionnaire appearing as Annex 2 of this document was attended to by respondents in Malawi, Zambia and Zimbabwe. The results from the rapid consultations are provided from each respondent as MW1, ZM1 or ZW1 and so forth, to mean respondent 1 from Malawi, Zambia or Zimbabwe respectively.

Annex 3 presents the results of the rapid consultations carried out in the three countries. A comparison of results obtained in 2016 following CBNAS and those obtained in 2018 during the rapid consultations appears in Table 5 below.

**Table 5: Prioritisation of Capacity Development Needs in 2016 and 2018**

No.	Identified Capacity Development Gap	Prioritisation in 2016	Prioritisation by Respondents in 2018
1.	International Water Law.	1	2
2.	Conflict Prevention and Dispute Resolution.	3	2
3.	Natural Resources Assessment and Valuation.	1	2
4.	Strategic Planning on the basis of IWRM Principles.	2	2
5.	Stakeholder Engagement at basin and national levels.	2	2
6.	Promoting Stakeholder ownership through Secondments Arrangements.	3	2
7.	Water Resources Data Gathering and Information Management.	1	2
8.	Institutionalisation of Environmental Sustainability in water resources management.	4	2
9.	Project Preparation Skills and Financial Mobilisation.	2	2

#### 3.1 Deficiencies of the CBNAS

The 2016 CBNAS was an excellent piece of work which was a starting point for the establishment of a CDP. However, the study results were listed as obtained from the respondents at that time who could have presented their personal views that perhaps are not critical for enhancing capacity within ZAMCOM. Secondly, it cannot also be appropriate to wholly bring on board such results without objectively analysing them with a suitable tool such as has been done in this assignment. Accepting all the suggestions can be irrelevant and costly. Therefore, this assignment has used the Red Route Analysis to come up with only those proposals that are critical for Capacity

## Development.

Apart from the identified gaps, new areas were also acknowledged during the Rapid Consultations which needed consideration and which could probably have been missed out during the CBNAS. These areas mainly focus on providing training in the following fields:

- (a) Planning tools such as State of the Environment Assessment and Reporting and Spatial Mapping;
- (b) Corporate Governance, Risk and Ethical Best Practices;
- (c) Stakeholder profiling and mobilisation of International Water Dialogues;
- (d) Flood Mitigation Strategies; and
- (e) Climate Change and Risk Management.

Although the above areas appear as stand-alone gaps, some of them can be addressed during the training that will be provided under the items already identified during the two surveys of 2016 and 2018. However, State of the Environment Assessment and Reporting and Spatial Mapping, Flood Mitigation including Climate Change and Risk Management could be considered as separate areas needing attention. While there are clear capacity development needs as identified by the stakeholders within the basin, there are also other needs which will be needed in enhancing the capacity especially of the ZAMTEC and ZAMSEC. Some of these needs include the following:

- (a) Team building and team work;
- (b) Report writing, analysis and reviews of national, basin, regional and global documents;
- (c) Procurement and management of contracts;
- (d) Diplomacy; and
- (e) Administration of corporate instruments and procedures.

In addition, emphasis also ought to be placed on the Zambezi Basin Strategic Planning and Development (ZSP). As one tool necessary for the implementation of the Capacity Development Plan, the ZSP will imply providing capacity in two areas as they relate to the basin – hydro-economic modelling and strategic planning. The latter having already been covered during the needs assessment study and rapid consultations.

Further, the issue of water resources information management and sharing is important. While Member States collect, process, analyse and archive hydrological and hydrometeorological data in their own data banks, it is also important to have a central point where such data need also to be stored. This is one of the critical functions of ZAMCOM. ZAMWIS is such one platform where data from Member States can be used for decision making at the basin level for infrastructure development and resource management. In particular, the following areas need to be addressed through training:

- (a) Hydrological and hydraulic modelling including river flow forecasting;
- (b) Application of global information system (GIS) in water resources management as well as remote sensing;
- (c) Data collection, cleaning, processing, analysis, archiving and standardisation.

The additional Capacity Development gaps identified above were all tested using the Red Route Analysis and found could be dealt with as sub-sets of major areas of training. In rating the severity of the Capacity Development gaps, the Consultant rated them as follows:

**Critical** = 1; **Serious** = 2; **Medium** = 3; **Low** = 4

Following the analysis of Annex 4, final results of the needs within ZAMCOM that would lead to the preparation of a Capacity Development Implementation Plan are presented in Table 6.

**Table 6: Comparison of prioritisation results after the Red-Route Analysis**

No.	Identified Capacity Development Gap	Prioritisation in 2016	Prioritisation by Respondents	Prioritisation by the Red-Route Analysis
1.	International Water Law.	1	2	1
2.	Conflict Prevention and Dispute Resolution.	3	2	1
3.	Natural Resources Assessment and Valuation.	1	2	1
4.	Strategic Planning on the basis of IWRM Principles.	2	2	1
5.	Stakeholder Engagement at basin and national levels.	2	2	1
6.	Promoting Stakeholder ownership through Secondments Arrangements.	3	2	2
7.	Water Resources Data Gathering and Information Management.	1	2	1
8.	Institutionalisation of Environmental Sustainability in water resources management.	4	2	2
9.	Project Preparation Skills and Financial Mobilisation.	2	2	1

### 3.2 Capacity Development Activities

All the CD activities appearing in Table 6, have high priority in the way they ought to be implemented. Nonetheless the Consultant is mindful of the need to tally these activities with the functions of ZAMCOM as they appear in the Agreement. Annex 5 provides this tally whose results are discussed in Section 3.3 below.



### 3.3 Identified interventions relevant to the Agreement

After tallying the functions of ZAMCOM with the identified CD needs, the following were isolated for implementation at each of the organisation's three levels:

#### **Council of Ministers Level**

Being the level that is responsible for policy formulation, it is not possible to subject this group to long training sessions. This is the group that can only learn through workshops, seminars, lectures or motivational speeches. This group will need to be inspired to appreciate the value of resources within the basin and how these resources ought to be equitably and sustainably managed for the overall social and economic development of the Member States. The following CD gaps apply to this group for implementation:

- (a) Natural resource assessment and valuation;
- (b) Promoting stakeholder ownership through secondment arrangements;
- (c) Water resources data gathering and information management; and
- (d) Institutionalisation of environmental sustainability in water resources management.

The above four capacity development gaps are especially relevant to this group because it needs to have adequate knowledge of the total value of the natural assets within each of their countries; be responsible for encouraging, promoting and approving stakeholder ownership programmes through exchange visits between countries; providing an enabling environment for experts to share data; and finally institutionalising integrated water resources management in the riparian states.

#### **ZAMTEC**

Under ZAMTEC, the following CD gaps were identified through the tallying process:

- (a) Strategic Planning on the basis of IWRM Principles;
- (b) Promoting Stakeholder ownership through secondment arrangements;
- (c) Water resources data gathering and information management;
- (d) Institutionalisation of environmental sustainability in water resources management; and
- (e) Project preparation skills and financial mobilisation.

ZAMTEC consists of Directors of Water Affairs from Member States and therefore is the most appropriate group that ought to be responsible for preparing strategic plans in water resources development and management where a component of awareness creation in natural resources conservation among the citizenry is included. It is also the group that can together promote as a family within the ZRB secondment of staff between and among Member States including visits to the Secretariat to learn about best practices in natural resources management. It is the same



group that is best placed to encourage sharing of data and information for strategic policy directions within the basin as well as institutionalising environmental sustainability and preparation of bankable projects to fund natural resources-related programmes and projects.

## **ZAMSEC**

The group that has the most need for capacity development is the ZAMSEC as it is affected by all the functions of ZAMCOM. The following CD gaps apply to ZAMSEC:

- (a) International Law;
- (b) Conflict Prevention and Dispute Resolution;
- (c) Strategic Planning on the basis of IWRM Principles;
- (d) Stakeholder engagement at basin and national levels;
- (e) Water resources data gathering and information management;
- (f) Institutionalisation of environmental sustainability in water resources management; and
- (g) Project preparation skills and financial mobilisation.

The above CD needs are critical for ZAMSEC. To ably carry out its responsibilities and functions, the institution needs to have the requisite knowledge and skills in administering legal issues affecting Member States. Interpretation and administration of legal issues will require that personnel at the Secretariat have knowledge in international law. This knowledge will not only enable those that acquire it to ably review and appreciate international legal matters but also be able to expertly and professionally assist Member States to avoid conflicts between or among themselves and where such conflicts may exist, provide the necessary means of resolving them.

ZAMSEC will also need capacity in planning for the future of the ZRB more especially as the population within it will exert more pressure on resources as it grows. In this regard, strategies have to be formulated in the near and medium-term as to how the resources of the basin can continue to sustainably meet the needs of the people that call the Zambezi River Basin their home. To formulate these strategies, some of the identified CD gaps for ZAMSEC also answer to this need and these are natural resources data gathering and management, institutionalisation of environmental sustainability in water resources management and stakeholder engagement at the basin level. It will also be necessary as a routing requirement at the institution to independently raise funds for various programmes and project and this will require knowledge in project preparation and mobilisation of financial resources. The identified gaps for each of the three levels above are those that go into the Capacity Development and Implantation Plan of ZAMCOM appearing as Section 4 of this document.

#### **4. CAPACITY DEVELOPMENT IMPLEMENTATION PLAN**

The activities to be carried out under the Capacity Development and Implementation Plan originate from the prioritised identified gaps which were latter aligned to the functions of ZAMCOM as depicted by Annex 5. Tables 7 – 9 show the capacity development activities under each level of ZAMCOM, the overall development objective of that activity, its rank in the prioritisation process, the resources that will be required to accomplish that activity, the expected outcomes after carrying out the individual activity, who ought to either be trained or through other media get inspired to improve services, institutions capable to take ownership of responsibility of implementing the activity, indicators of implementation, estimated cost and suggested period of activity and its total cost.

It is not easy to provide the exact cost of implementing each activity in the face of monetary fluctuations within the economies of the SADC region. Therefore, the Consultant has in each case, allocated a sum of money that would be adequate for a participant for the duration of the training taking into account subsistence and accommodation. That allowance also includes a component of tuition per individual that would be paid to the institution offering the training or any entity entrusted with that function.

In the quest to improve service delivery within the institution, there are different ways in which the “training” is hereby being suggested should be offered. Considering that the top cadre of ZAMCOM consists of Ministers, it is not practical to subject this class to a classroom environment. The idea is to invite speakers and address issues that will motivate the Ministers to take proactive steps within their countries in dealing with issues that affect or would affect the Zambezi River Basin. Therefore, during the times when ZAMCOM is in session, a day or two is hereby being proposed for extension from their normal routine to take on board other issues through lectures and/or motivational speeches.

Similarly, there are also other cases where for instance members of ZAMTEC who happen to be Directors of Water Affairs in their countries, would not be sent away for more than three months to undergo training at a university because this would drastically affect their work within the countries they come from. Members of staff of ZAMSEC would equally be affected by long absence from office at the Secretariat and therefore in the majority of cases, training is of short duration only but supposedly intensive.

##### **4.1 Council of Ministers Level**

The estimated total budget for training to improve effectiveness and efficiency for CoM is US\$510,000 for the next 5 years. The kind of training for this cadre will be in the form of lectures and/or speeches delivered by a renowned specialist in water or natural resources management or any subject of relevance where Ambassadors and High Commissioners of Member States shall also be invited as CoM meets. Where training is needed for say a month or more, such as through secondment arrangements, a Member State will second a senior staff member to another Member

State or at the Secretariat with the sole purpose of acquiring knowledge and skills to better inform members of the Council.

#### **4.2 ZAMTEC Level**

ZAMTEC Capacity Development activities will require a total budget of US\$512,000 over the same period of 5 years. Training in various disciplines will include courses of two weeks to the longest of three months. The short courses are suggested to be very intensive and should be undertaken within the SADC region at an appropriate venue or institution. For the longer-duration courses, these can either be within the SADC region or outside. These courses are mainly focusing on mainstreaming IWRM within the basin.

#### **4.3 ZAMSEC Level**

The largest proportion of the ZAMCOM budget amounting to US\$927,000 is allocated to the training needs at the Secretariat. The Secretariat undertakes a lot of activities ranging from advisory services to the CoM to programming, information sharing and awareness creation. The Secretariat has also to raise funds for its operations apart from being entrusted with the responsibility of administering the nine functions of ZAMCOM. For ZAMSEC, it will be crucial that training be offered formally either under a classroom environment or through e-learning and some of the areas to be covered under this training are expected to be as long as three months such as in International Law. It is however the option of the Executive Secretary to decide on the number of staff members that can undergo a particular training depending on the labour force existing at any one time. Should a particular course require training of more than the prescribed three months then the trainee will have to take that course on-line.

The total budget for ZAMCOM under the CDIP is estimated at US\$1, 949, 000 (One million and Nine Hundred and Forty-Nine Thousand United States Dollars) at 2018 market prices. Figure 2 presents when each activity could be considered for implementation in the next 5 years (2019 – 2023).

## Gantt Chart

Institution	Activity	2019		2020		2021		2022		2023		Total cost of activity (US\$)
		Winter	Summer	Winter	Summer	Winter	Summer	Winter	Summer	Winter	Summer	
Council of Ministers	Natural Resources Assessment and Valuation.		■		■		■		■		■	320,000.00
	Promoting stakeholder ownership through secondment arrangements.		■		■		■		■		■	40,000.00
	Water resources data gathering and information management.	■	■	■	■	■	■	■	■	■	■	75,000.00
	Institutionalisation of environmental sustainability in water resources management.	■	■	■	■	■	■	■	■	■	■	75,000.00
ZAMTEC	Strategic Planning on the basis of IWRM Principles.	■	■									176,000.00
	Promoting stakeholder ownership through secondment arrangements.		■		■		■		■		■	144,000.00
	Water resources data gathering and information management.	■	■	■	■	■	■	■	■	■	■	96,000.00
	Institutionalisation of environmental sustainability in water resources management.	■	■	■	■	■	■	■	■	■	■	96,000.00
	Project preparation skills and financial mobilisation.		■									-
ZAMSEC	International Law		■									80,000.00
	Conflict Prevention and Dispute Resolution.				■							80,000.00



Figure 2 shows the suggested implementation schedule of the various CD activities under the Council of Ministers level, the ZAMTEC level and for the Secretariat shown in Tables 7 - 9. The first two activities for the CoM will be held as the Council is in session every year in the next 5 years while the following two other activities will be implemented continuously as these activities are endless.

For the ZAMTEC, the first activity requires that it is implemented at the beginning of the planning period so as to plan for the following 5 years. The second activity will be held every year where Member States send their staff to either the Secretariat or between or among themselves. The third and fourth activities for ZAMTEC also demand continuous attention as they never cease. Learning how to prepare bankable projects and mobilising resources will have to be undertaken at the beginning of the planning period for each of the Member States.

The training activities for ZAMSEC are also those that will be implemented within a limited period of time while others are to be prolonged by their nature. The first training programme should involve acquiring knowledge of international law by virtue of its extreme importance to the personnel of the Secretariat.

Learning about Conflict Prevention and Dispute Resolution can be staggered. It will depend on the availability of time but must come early and certainly before the end of 2020. Like ZAMTEC issues of Strategic Planning require that they are addressed at the beginning of the planning period and it is suggested that this activity be implemented before the end of 2019. Continuous programmes for ZAMSEC include Stakeholder Engagement at Basin and National levels, which is one of the most crucial activities of the Secretariat, and Institutionalisation of Environmental Sustainability in Water Resources Management. The other project activities can be implemented as they appear in the Gantt Chart.

Member States should also take it upon themselves to raise funds locally for various programmes and projects that will complement the efforts being taken at the international level. For instance, resources will be needed for various programmes at the local level such as providing training to personnel dealing with natural resources management in state of the environment assessment and reporting and spatial mapping; corporate governance, risk and ethical best practices; flood mitigation strategies; and climate change and risk management. In addition, knowledge of strategic planning and financial mobilisation is also crucial at the national level.

Table 7: Capacity Development Activities to support Council of Ministers

Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost (US\$)	Total Cost (US\$)
Natural Resources Assessment and Valuation.	<p>To allow the CoM members have knowledge in the value of their national assets.</p> <p>To foster common understanding on resource development and management in transboundary corridors.</p> <p>Facilitate common appreciation of the impact of emerging issues on the resources in the basin by the Council of Ministers.</p>	1	<p>Financing for short-term national resource valuation;</p> <p>Preparation and publication of national reports.</p>	<p>CoM members are able to identify development and management issues in the basin.</p> <p>CoM members adopt sustainable approaches in resource development and management.</p> <p>CoM is better informed of potential impacts of emerging issues on natural resources including water.</p>	<p>Ministers Ambassadors High Commissioners Motivated through inspirational speeches.</p>	<p>SADC; ZAMTEC; Development Partners.  Specialist institutions within SADC</p>	National reports on natural resources value within sub-basins.	US\$40,000/ Member State <b>once every 5 years.</b>	320,000.00

Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost (US\$)	Total Cost (US\$)
Promoting stakeholder ownership through secondment arrangements.	CoM is at the for in promoting, supporting, coordinating and approving secondment arrangements of professionals and experts among Member States;  Sharing management information among Member States through advice provided by specialists in natural resources management.	2	Financing for secondment arrangements between and among Member States.	Appreciation of each other's resource management and development plans and activities.  Building of trust among Member States through knowledge in resource management and sharing of information and knowledge.	National individual experts needing such training through secondment arrangements.	ZAMSEC; Member States; Development Partners.	At least 8 trainees are seconded to another Member State.	8 trainees at US\$5,000/ Trainee <b>for 1 month.</b>	40,000.00
Water resources data gathering and information management	Develop strong institutions responsible for sustainable resource management and development.  Enhance coherence in resource governance among institutions of Member States.	1	Political will;  Drivers to lead the way.	Existence of strong institutions within Member States that have a similar vision and mission in resource management and development.	Ministers Ambassadors High Commissioners	Ministries and Departments in Member States.	Availability of data and other information on natural resources in data banks of Member States;  Sharing of information through hard and electronic copies;  Availability of data with ZAMSEC.	Annual one-day seminars or Motivational Speeches at CoM Meetings at US\$15,000/ day <b>for the next 5 years.</b>	75,000.00



Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost (US\$)	Total Cost (US\$)
Institutionalisation of environmental sustainability in water resources management	<p>Encourage policy makers to formulate policies that ensure sustainability in natural resource development programmes and projects, natural resources use and their management;</p> <p>Avail the CoM appreciation that natural resources are finite and should, through the policies they formulate, be protected, conserved, sustainably used and developed.</p>	2	<p>Financial resources needed for training;</p> <p>Trained expertise.</p>	<p>Effective institutions;</p> <p>Better articulation of issues within the Basin;</p> <p>Sustainable development, management, utilisation and conservation of natural resources based on good policies;</p> <p>Integrated Water Resources Management forms part of sectoral policies within Member States.</p>	Ministers Ambassadors High Commissioners	Principal Secretaries and Directors of Ministries and Departments in Member States.	<p>Availability of natural resources needed in all sectors of society;</p> <p>Pristine ecosystems;</p> <p>Reduced occurrences of natural disasters within the basin.</p>	Annual one-day seminars at CoM Meetings at US\$15,000/ day <b>for the next 5 years.</b>	75,000.00

Table 8: Capacity Development Plan for ZAMTEC

Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost	Total Cost (US\$)
Strategic Planning on the basis of IWRM Principles.	To ensure that projects are well planned and executed in a sustainable manner;  That there is coordination in the way projects are planned, designed, developed and managed within the Zambezi River Basin.	1	Financial resources;  Training institutions offering the necessary course.  Time;  Personnel to acquire such training.	No conflicts between sub-river basins in resource use;  Environmental sustainability;  Job creation and food security;  Healthy ecosystems.	Senior experts responsible for water affairs and other natural resources within Member States.	Member States;  Development Partners;  Universities of Dar es Salaam, Malawi and Zimbabwe;  WaterNet;  Malawi Institute of Management (MIM);  ESAMI in Arusha.	Certificates in Strategic Planning;  Certificates in Water Resources with bias in IWRM	8 participants from Member States and 2 participants from ZAMSEC at US\$8,000/ Participant <b>offered once every 2 years.</b>	80,000.00
	Enhance skills in assessing resource availability, quality and health through Planning Tools such as State of the Environment and Outlook Reporting and Spatial Mapping and be able to match with future demand.	2	Financial resources;  Trainers.	Improved reporting on the natural environment for decision making within the basin.	Directors and senior officials responsible for natural resources management in Member States.	ZAMSEC;  Development Partners;  GRID – Arendal;  SARDC;  Universities.	State of Environment and Outlook Reports.	16 persons x US\$6,000/person <b>for 1 week.</b>	96,000.00

Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost	Total Cost (US\$)
Promoting stakeholder ownership through secondment arrangements.	Being exposed to best practices in Member States or learning new ideas at the Secretariat;  Promote harmony among Member States;  Enhanced knowledge in specific disciplines.	2	Training institutions such as those dealing with GIS;  Financial resources  Hydrological modelling.	Enhanced skills in interpretation of natural landscapes and the resources thereon; and  Experts are able to advise on river flows within river basins.	Senior professionals responsible for water affairs and other natural resources;	Member States;  Development Partners.	Certificate of completion.	2 persons at US\$9,000/ person per Member State <b>once in 5 years.</b>	144,000.00
Water resources data gathering and information management.	Be able to understand the overall hydrological dynamics within the Zambezi River Basin for purposes of basin planning and development.  Share data between Member States and ZAMSEC for water resources management including control of extreme events.	1	Training institution;  Financial resources.	Member States have trained personnel in water resources;  Better hydrological data handling;  Sharing of data with ZAMSEC is enhanced; and  There is better planning, development and management of water resources.	Principal Secretaries and Directors responsible for water affairs and other natural resources to train their people.	Member States;  ZAMSEC;  Development Partners;  Training institutions within the SADC region.	Relevant qualifications.	2 participants per each Member State x US\$6000/month <b>x 1 month.</b>	96,000.00

Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost	Total Cost (US\$)
Institutionalisation of environmental sustainability in water resources management.	Instil a tradition of sustainable and integrated natural resources management within societies in the Member States.	2	Financial resources; Training institutions offering the necessary course.	Social equity, economic efficiency and environmental sustainability in resources use and management within Member States.	Ministers, Principal Secretaries and Directors responsible for water affairs and other natural resources within Member States.	ZAMSEC; Member States; Development Partners; GWPSA; WaterNet.	More IWRM development projects within the basin; Better management and development of transboundary resources such as surface and groundwater and wildlife.	Short course for 12 participants from Member States and Secretariat at US\$8,000/ Participant for <b>1 month</b> .	96,000.00
Project preparation skills and financial mobilisation.	Acquire skills in preparing bankable projects that can be funded by Development Partners for various natural resources-related projects within the Zambezi River Basin.	1	Training institution and trainers; Financial resources	Personnel within Member States are able to prepare more acceptable and bankable project proposals and there is inflow of funding for natural resources projects and programmes within the basin.	Senior personnel within Ministries and Departments responsible for natural resources management within Member States.	Ministries and Departments in Member States.	Number of project proposals submitted to potential financiers per year; Funded projects per year.	Financed from local national resources.	-

Table 9: Capacity Development Plan for ZAMSEC

Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost (US\$)	Total Cost (US\$)
International Law.	Have the ZAMSEC and other members appreciate the congruency of legal provisions among riparian states.	1	Financing for short-term training of the ZAMSEC members; Availability of appropriate institution offering training in International Law.	Understanding of legal provisions in member states as they relate to resources management and development; Appreciation of each other's resource management and development plans. Building of trust among Member States through knowledge in International legal statutes by ZAMSEC Members as they advise the Council.	Senior staff of the Secretariat.	ZAMSEC; Development Partners; Academic Institutions within the SADC.	At least 4 trainees are offered this training	4 trainees at US\$20,000/ Trainee for <b>three months</b> each.	80,000.00

Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost (US\$)	Total Cost (US\$)
Conflict Prevention and Dispute Resolution.	<p>To allow the ZAMSEC members to ably articulate new options and challenges to member states in the basin.</p> <p>To foster common understanding on resource development and management in transboundary corridors.</p> <p>Facilitate common appreciation of emerging issues in the basin by the Council of Ministers.</p>	1	Financing for short-term training of the ZAMSEC members.	<p>ZAMSEC members are able to identify development and management issues in the basin.</p> <p>ZAMSEC members have adequate capacity and skills to entice Member States in common approach in resource development.</p> <p>Council of Ministers is better informed of emerging issues.</p> <p>ZAMSEC Members can identify latent areas of conflict and avoid them.</p>	Senior Secretariat staff.	<p>Member States;</p> <p>ZAMCOM Secretariat;</p> <p>Development Partners;</p> <p>Consultant in Conflict Prevention and Resolution.</p>	Certificate of course completion.	<p>At most 4 participants from the Secretariat at US\$10,000/ Participant;</p> <p>US\$40,000 for consultant for a <b>two-week course</b>.</p>	80,000.00

Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost (US\$)	Total Cost (US\$)
Strategic Planning on the basis of IWRM principles.	Develop strong institutions responsible for sustainable resource management and development.  Enhance coherence in resource governance among institutions of Member States.	1	Political will;  Trained and experienced technical personnel;  Drivers to lead the way.	Strategic plans are well prepared for the Secretariat every 5 years;  Coordinated and well-planned basin management.	Senior Secretariat staff.	Public and Private Institutions within SADC; Consultant in Strategic Planning.	ZAMSEC has well organised programmes for execution;  Economic growth of the Member States as a result of better management of natural resources in the sub-basins of the Zambezi.	2 participants from the Secretariat at US\$15,000/ Participant for <b>two weeks</b> ;  US\$40,000 for the Consultant.	70,000.00

Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost (US\$)	Total Cost (US\$)
Stakeholder engagement at basin and national levels.	Achieve cooperation and coordination in project planning, design, development and management of sub-basins within the Zambezi River Basin by engaging stakeholders and get buy-in.	1	Personnel at national level as drivers; Water Dialogues; Financial resources.	IWRM Principles are mainstreamed in all sectors of Member States.	Senior Secretariat staff.	Member States; ZAMSEC; Development Partners.	Number of Consultations.	30 participants per Member State and 2 participants from ZAMSEC at US\$2,000/ Participant undertaken <b>once per year</b> .	512,000.00
Hydrological and hydraulic Modelling and river flow forecasting.	Better interpretation of hydrological aspects. Enhancement of decision making.	1	Training institutions; Financial resources.	Be able to gauge river behaviour in real time; Provide early warning for disaster prevention.	Senior Secretariat staff.	ZAMSEC; Development Partners; Training institution in water resources within SADC.	Less supervision in hydrological matters; Certificates of completion of course.	2 persons from the Secretariat at US\$8,000/ month for <b>2 months</b> .	32,000.00



Capacity Development Activities	Overall objective(s) of the Capacity Development Activity	Priority	Relevant Capacity Development resources needed	Outcomes	Target group	Implementer(s) / Institution offering training	Indicator(s)	Cost (US\$)	Total Cost (US\$)
Institutionalisation of environmental sustainability in water resources management.	To have Member States mainstream IWRM in their national policies.	2	Personnel; Financial resources.	National infrastructure programmes and projects incorporate IWRM during periods of and after implementation.	Senior Secretariat staff.	GWP-SA	Member States have IWRM in their natural resources-related policies.	2 persons from the Secretariat at US\$4,000/ week for <b>2 weeks</b> .  US\$40,000 for GWP-SA as the Consultant offering training.	56,000.00
Training in Corporate Governance	Have skills in all aspects of corporate governance including, accountability, risk, reporting, ethics, management and other such aspects.	2	Financial resources	Enhanced management style and operation of the institution.	Senior Secretariat staff.	Malawi Institute of Management; ESAMI – Arusha; ZAMSEC; Development Partners.	Certificate (s)	3 people x US\$15,000 for <b>two weeks</b> .	45,000.00
Project preparation skills and financial mobilisation.	Acquire skills in preparing bankable projects that can be funded by Development Partners for various natural resources-related projects within the Zambezi River Basin.	1	Training institution and trainers; Financial resources	Personnel within Member States are able to prepare more acceptable and bankable project proposals and there is inflow of funding for natural resources projects and programmes within the basin.	Senior Secretariat staff.	Consultant.	Number of project proposals submitted to potential financiers per year;  Funded projects for the Secretariat per year.	US\$40,000 for Consultant in financial mobilisation skills;  Training costs for 3 participants at US\$4,000/participant for <b>one week</b> .	52,000.00

## 5. CAPACITY DEVELOPMENT STRATEGY FOR ZAMCOM

The Capacity Development Strategy for ZAMCOM must answer to the very reason why ZAMCOM was established which is, “to promote the equitable and reasonable utilisation of the water resources of the Zambezi watercourse as well as the efficient management and sustainable development thereof”. To fulfil this objective, it is necessary to have knowledgeable and skilled personnel within the arms of ZAMCOM for the easy implementation of its programmes and projects within the ZRB. Therefore, the training programmes that appear in Section 4 above will be of great value to the identified target groups within the basin.

### 5.1 Strategic Vision

According to the organisation’s IWRM Strategy implementation plan, it spells out the need for developing and implementing performance-based training programmes on water resources management based on institutional development assessments (ZAMCOM, 2016). This Capacity Development Plan therefore answers to that call spelt out in the IWRM Strategy. Training should form part of the core activities in order to enhance capacity for awareness creation in sustainable resource development and management within the ZRB as pronounced in the Agreement (ZAMCOM, 2004).

The various programmes and projects for ZAMCOM must be implemented in a chronological fashion based on prioritisation as carried out by this assignment and as presented in Figure 2 depending on the availability of financial resources. In the case of this plan, prioritisation of the various activities has been made for all activities to be implemented in the short-term and as will have been noted from the results of the prioritisation process (Table 6) all activities to be implemented from 2019 to 2023 hold the highest priority rankings of between 1 and 2. The Capacity Development Strategic Vision therefore is, “to meet integrated and sustainable development and management of the natural resources of the Zambezi River Basin through enhanced capacity of the basin’s human and technological resources in the short, medium and long-term”. To meet the aspirations of this Vision, the identified training needs have therefore to be implemented as quickly as possible and as outlined in this document.

### 5.2 Objectives of the Strategy

The Capacity Development Plan and its strategic vision will be met by fulfilling five strategic objectives. These strategic objectives are the following:

#### **Strategic Objective 1: To define required capacities and identify gaps.**

As was undertaken in 2016, a capacity development need was identified in various areas and at different levels within the basin. This process helped formulate appropriate capacity development responses and allocate resources required for each capacity development need. Therefore, such an exercise will be needed from time to time to respond to emerging needs within the basin. In line with this objective, emphasis will be placed first, on outlining the challenges or gaps and second,

providing relevant training in order to meet the service delivery needs within the basin. This Strategic Objective can therefore be considered to have been achieved.

**Strategic Objective 2: To create an enabling environment**

The development, implementation and management of various IWRM programmes and projects in the Zambezi River Basin requires cooperation and harmonisation of codes of conduct among the Member States, politically, socially, technically and otherwise. An enabling environment is necessary to ensure there is sustainable development of the basin's natural resources particularly water as espoused in the Revised Protocol on Shared Watercourses in the SADC region (SADC, 2000). The aim of this Plan is further to foster closer cooperation between government ministries and departments of the Member States so as to secure political buy-in and goodwill towards ZAMCOM's Strategic Vision. It is expected that Member States will recognize the national and international significance of investing in capacity development, as part of the development priorities within the basin.

**Strategic Objective 3: To enhance knowledge management**

This strategic objective involves the creation of supportive organizational structures through information and communication technologies (ICTs), with emphasis on building teamwork and dissemination of knowledge that can assist in capacity development. The objective is to foster sharing of the experiences and resources, partly through secondment arrangements within and outside the basin, in partnership with other institutions.

**Strategic Objective 4: To strengthen resource mobilisation and project management**

The development and management of IWRM projects within the basin requires financial resources. Apart from locally-raised resources, capacity is needed in resource mobilisation through development of bankable project proposals. This strategic objective is particularly very important and useful and its immediate fulfilment is critical. This will also imply the strengthening of institutional arrangements that enable the implementation of capacity development projects and programmes through enhanced interaction with Development Partners.

**Strategic Objective 5: To increase education and research opportunities**

Skilled individuals with competencies relevant to service delivery are indispensable to the operation of ZAMCOM. Education and research are long-term activities that build the foundation for products and services. In this regard, the operation of ZAMWIS is much dependent on and made much relevant through research in water-related areas that enrich knowledge in the development of opportunities for the 40 million or so, people that live within the Zambezi River Basin. Such research will be possible and facilitated by successful implementation arrangements made for data collection and information management.

### **5.3 Target Groups for Capacity Development**

The main purpose of capacity development is to transcend new horizons in carrying out national, regional and international assignments through improved knowledge, skills and services. Improved delivery of services will largely depend on improved knowledge and skills as to how particular assignments have to be undertaken and by whom. The implementation of the Capacity Development Plan is targeted at personnel within Ministries and Departments dealing with natural resources management in Member States who would directly provide advice to the Council; personnel within Member States directly responsible for water affairs who form the Technical Committee of ZAMCOM and personnel of the Secretariat of the institution. Not everyone can receive training in particular fields. Accordingly, the target groups for capacity development have been clearly presented in the relevant areas of Section 4 of this document.

### **5.4 Focal Areas for Capacity Development and Activities**

The main areas for capacity development appear in the relevant sections for each level as seen in Tables 7 – 9. Broadly the capacity development activities relate to enabling environment; institutional arrangements; knowledge and financial management.

### **5.5 Sustaining the Capacity Development Strategy**

According to the World Bank (2010), it and other international financial institutions and Development Partners have various portfolios of investments and support programmes in the Member States riparian to the Zambezi. Nonetheless, a coordinated strategy that can optimize the Basin's investment potential and portfolio and promote cooperative development in support of sustainable economic growth and poverty alleviation is found much wanting. In this regard, a multi-faceted approach should be adopted by the Member States by raising financial resources locally and internationally, for the various programmes within the basin including the implementation of this Capacity Development Plan.

## **6. MONITORING AND EVALUATION PLAN**

The Capacity Development Implementation Plan (Tables 7 – 9) offers an opportunity to guide implementation of various activities which in essence are the capacity development gaps needing redress. The Implementation Plan can only be successfully executed if responsible institutions proposed for monitoring progress are determined in their resolve to get the various activities done.

The CDIP has been developed by prioritising which activities should be implemented. As will be observed from Tables 7 – 9, the majority of the activities are proposed for the short-term (priority ratings 1 and 2) signifying the fact that the identified capacity gaps are of extreme importance requiring the urgency they call for. In addressing these challenges, monitoring indicators will be used by the institutions identified for implementation while timeframes for monitoring are also suggested as seen in Table 10. The tools for monitoring have been suggested.

The cost for monitoring the various activities is relatively small compared to the cost of their implementation. This is because it is assumed that the institution mandated to monitor a specific activity will have a built-in budget in its annual plans for such activities. Only a nominal budget has been allocated for this purpose therefore.

### **6.1 Capacity Development Activities**

The capacity development activities identified during the CBNAS in 2016 and the Rapid Consultations of 2018 cannot necessarily be implemented and monitored by one or the same institution. There are some activities that can be monitored at the high level of SADC, while others are monitored at the Member State level and by Secretariat. These activities address deficiencies in capacity to improve upon issues to do with enabling environment, institutional arrangements, knowledge and financial management as well as general management.

### **6.2 Monitoring Indicator (s)**

The attainment of the actual goal – that of having individuals get trained in various professional fields can be monitored using a number of selected indicators. Common indicators, all relevant to the training, have been used in this analysis and monitors can access invitation letters to individuals being requested to attend the training course; end of training qualification is examined or seen; actual attendance of participants to the relevant training institutions or visits to those institutions providing the training. There are also other monitoring indicators that monitors would choose for this purpose as presented in Table 10.

### **6.3 Responsibility for Management**

Responsibility for management and monitoring progress of the proposed remedial measures to the identified capacity deficiencies has been allocated to SADC, Member States, GWP-SA, UNEP, GRID - Arendal, WaterNet and ZAMCOM Secretariat among others.

#### **6.4 Frequency in Monitoring**

The frequency in monitoring will primarily depend on the length and duration of the training programme for each discipline. Considering that training in the various fields is assumed will be extended to practicing professionals, it is possible that these will be short-duration courses of not more than 3 months each. Therefore, the frequency for each course will be determined by the relevant length of the applicable course.

#### **6.5 Means of Verification**

The means of verification will be important and useful by those carrying out the monitoring to check on progress. These means of verification include actual visits to points of instruction, periodic, bi-monthly and terminal reports, training results, on-site assessments, and qualifications granted to those finishing the training courses.

#### **6.6 Costs for Monitoring Activity**

As pointed out earlier, the cost for monitoring activities does not form a large part of the Plan within the proposed term of implementation. The total sum of this item is estimated at US\$71,000 which is assumed can be raised together with the costs of the actual training programmes.

While the total estimated cost for implementing the various activities under this Plan is pegged at US\$ 1, 949, 000 for a period of five years, the grand total for the whole programme is US\$2,110,000 (Two Million and One Hundred and Ten Thousand United States Dollars Only) inclusive of monitoring costs.

Table 10: Monitoring Plan for Capacity Building Activities for ZAMCOM

No.	Capacity Development Activity	Monitoring indicators	Responsibility for Management	Frequency in monitoring	Means of Verification	Costs for monitoring activity (US\$)
<b>Monitoring Plan for Capacity Development Activities to support CoM</b>						
1.	Natural Resources Assessment and Valuation.	<ul style="list-style-type: none"> <li>• Invitation letter (s);</li> <li>• Number of intakes;</li> <li>• Number of participants.</li> </ul>	SADC; Member States GWPSA; WaterNet.	<ul style="list-style-type: none"> <li>• Weekly.</li> </ul>	Monthly Reports.	3,000.00
2.	Promoting stakeholder ownership through secondment arrangements.	<ul style="list-style-type: none"> <li>• Number of personnel on secondment in a year</li> </ul>	Member States	<ul style="list-style-type: none"> <li>• Bi-annually.</li> </ul>	Bi-annual reports	3,000.00
3.	Water resources data gathering and information management	<ul style="list-style-type: none"> <li>• Invitation letter (s);</li> <li>• Number of intakes;</li> <li>• Number of participants.</li> </ul>	SADC; Member States WaterNet.	<ul style="list-style-type: none"> <li>• Continuous.</li> </ul>	Periodic Reports	4,500.00
4.	Institutionalisation of environmental sustainability in water resources management	<ul style="list-style-type: none"> <li>• Planning tools such as SOERs;</li> <li>• IWRM is mainstreamed in sectoral policies.</li> </ul>	SADC; GWP-SA; ZAMSEC	<ul style="list-style-type: none"> <li>• Annually</li> </ul>	Policies contain statements on the environment; Environmental reports; Developmental projects have a budget for the environment.	5,000.00
<b>Monitoring Plan for Capacity Development Activities for ZAMTEC</b>						
1.	Training in Strategic Planning and Organisational Development.	<ul style="list-style-type: none"> <li>• Number of participants from Member States;</li> <li>• Letters offering training course to participants;</li> <li>• Actual training at selected institutions.</li> </ul>	SADC; Member States.	<ul style="list-style-type: none"> <li>• Bi-monthly.</li> </ul>	Bi-monthly reports; Visit to the training institution.	3,000.00
2.	Promoting stakeholder ownership through secondment arrangements.	<ul style="list-style-type: none"> <li>• Number of personnel on secondment in a year</li> </ul>	Member States	<ul style="list-style-type: none"> <li>• Bi-annually.</li> </ul>	Bi-annual reports	3,000.00
3.	Water resources data gathering and information management	<ul style="list-style-type: none"> <li>• Invitation letter (s);</li> <li>• Number of intakes;</li> <li>• Number of participants.</li> </ul>	SADC; Member States WaterNet.	<ul style="list-style-type: none"> <li>• Continuous.</li> </ul>	Periodic Reports	4,500.00
4.	Institutionalisation of environmental sustainability in water resources management	<ul style="list-style-type: none"> <li>• Planning tools such as SOERs;</li> <li>• IWRM is mainstreamed in sectoral policies.</li> </ul>	SADC; GWP-SA; ZAMSEC	<ul style="list-style-type: none"> <li>• Annually</li> </ul>	Policies contain statements on the environment; Environmental reports; Developmental projects have a budget for the environment.	5,000.00

No.	Capacity Development Activity	Monitoring indicators	Responsibility for Management	Frequency in monitoring	Means of Verification	Costs for monitoring activity (US\$)
5.	Training in Project preparation skills and Financial Mobilisation.	<ul style="list-style-type: none"> <li>• Invitation letter;</li> <li>• Actual training.</li> </ul>	SADC; Member States.	<ul style="list-style-type: none"> <li>• Training courses arranged at the national level.</li> </ul>	Progress and end-of-training reports.	4,500.00
<b>Monitoring Plan for Capacity Development Activities for ZAMSEC</b>						
1.	Training in International Water Law.	<ul style="list-style-type: none"> <li>• Invitation letter (s);</li> <li>• Number of intakes;</li> <li>• Number of participants.</li> </ul>	SADC; Member States.	<ul style="list-style-type: none"> <li>• Once a month.</li> </ul>	Periodic Reports.	5,000.00
2.	Offer training in Conflict Prevention and Dispute Resolution.	<ul style="list-style-type: none"> <li>• Offer letters to participants from training institution; and/or</li> <li>• Invitation letter.</li> </ul>	SADC; Member States.	<ul style="list-style-type: none"> <li>• Only during the course as this is likely to be a short training session.</li> </ul>	End-of-training report.	6,000.00
3.	Training in basin-wide Strategic Planning.	<ul style="list-style-type: none"> <li>• Invitation letter (s);</li> <li>• Number of intakes;</li> <li>• Number of participants.</li> </ul>	SADC; Member States; GWPSA.	<ul style="list-style-type: none"> <li>• At the beginning of course; and</li> <li>• At the end of the course.</li> </ul>	Periodic reports.	5,000.00
4.	Training in Stakeholder Engagement and Consultation processes.	<ul style="list-style-type: none"> <li>• Invitation letter (s);</li> <li>• Number of intakes;</li> <li>• Number of participants.</li> </ul>	SADC; Member States.	<ul style="list-style-type: none"> <li>• Every quarter.</li> </ul>	Quarterly Reports.	5,000.00
	Mobilisation of International Water Dialogues.	<ul style="list-style-type: none"> <li>• Invitation letter (s);</li> <li>• Number of intakes;</li> <li>• Number of participants.</li> </ul>	SADC; Member States GWPSA.	<ul style="list-style-type: none"> <li>• Every year.</li> </ul>	Annual Reports.	4,000.00
5.	Hydrological and hydraulic Modelling and river flow forecasting.	<ul style="list-style-type: none"> <li>• Invitation letter (s);</li> <li>• Number of intakes;</li> <li>• Number of participants.</li> </ul>	SADC; Member States WaterNet.	<ul style="list-style-type: none"> <li>• At the beginning of course;</li> <li>• In the middle of the training; and</li> <li>• At the end of the course.</li> </ul>	Periodic Reports.	7,000.00
	Training in the Development of Planning Tools such as State of Environment and Outlook Reporting and Spatial Mapping	<ul style="list-style-type: none"> <li>• Invitation letter (s);</li> <li>• Number of intakes;</li> <li>• Number of participants.</li> </ul>	SADC; Member States; UNEP; GRID.	<ul style="list-style-type: none"> <li>• Once during the course.</li> </ul>	On-site visitation and assessment.	6, 00.00
6.	Institutionalisation of environmental sustainability in water resources management.	<ul style="list-style-type: none"> <li>• Planning tools such as SOERs;</li> <li>• IWRM is mainstreamed in sectoral policies.</li> </ul>	SADC; GWP-SA; ZAMSEC	<ul style="list-style-type: none"> <li>• Annually</li> </ul>	Policies contain statements on the environment; Environmental reports; Developmental projects have a budget for the environment.	75,000.00



No.	Capacity Development Activity	Monitoring indicators	Responsibility for Management	Frequency in monitoring	Means of Verification	Costs for monitoring activity (US\$)
7.	Training in Project preparation skills and Financial Mobilisation.	<ul style="list-style-type: none"> <li>• Invitation letter;</li> <li>• Actual training.</li> </ul>	SADC; Member States.	<ul style="list-style-type: none"> <li>• Training courses arranged for the Secretariat.</li> </ul>	Progress and end-of-training reports.	12,500.00

Overall Capacity Development Monitoring Budget for ZAMCOM is estimated at US\$ 161,000.00 (One Hundred and Sixty-One Thousand United States Dollars Only) per year.

## 7. CONCLUSION AND RECOMMENDATIONS

In summarising the content of this report, conclusions are made in Section 7.1 and some recommendations are also presented in the following Section 7.2 which are however, not exhaustive.

### 7.1 Conclusion

In responding to the scope of the assignment, this report has made a review of the CBNAS conducted by ZAMCOM in 2016 and has made it more elaborate and summarised its content for the reader to understand the intent and findings of that study. The report has not only considered the outcomes of the CBNAS but has also gone further to explore other areas for consideration in capacity building such as enhancement of an enabling environment, institutional arrangements and strengthening the ZAMWIS programme for ease of basin planning and development.

The report also brings on board findings from a capacity development Rapid Consultation process which was carried out in Malawi, Zambia and Zimbabwe being three of the eight countries that are riparian to the ZRB. The results from this rapid consultation were regarded as just representative of what could be some of the pertinent areas to consider under the CDP if the survey were to be conducted in all 8 Member States. The findings from the rapid consultations added value and new realisation to some of the aspects needing attention in the CDP over and above what had already been unveiled in the CBNAS of 2016.

Both the findings of the CBNAS and the results of the Rapid Consultations which were essentially capacity gaps at the individual, Member State, ZAMTEC/ZAMSEC and CoM levels are in this report identified as activities which should receive attention over the short, medium and long-term in the process of developing capacity in operationalising ZAMCOM programmes. The activities were subjected to a prioritisation process with the view of ranking them as to when they would need to be implemented, either in the short, medium or long-term. This process was also helpful because implementation would begin with the urgent activities and leave the less urgent activities for the medium to the long-term considering financial limitations that ZAMCOM would be facing.

In analysing the process of implementing each capacity development activity, the objective of the capacity development programme has been presented including the targets groups, outline of the programme and the duration is summarised by the priority index of that activity. Expected outcomes, target groups and implementors of each capacity development activity are also included as well as their related estimated costs.

Importantly, the costed CDIP takes into account core developmental issues bordering on institutional arrangements, issues of leadership, knowledge management, financial management and accountability.

## 7.2 Recommendations

The following few recommendations are made in concluding this CDP. It is appreciated that the fulfilment of the recommendations and the implementation of the various activities under this Plan will heavily lean on the availability of financial resources which have to be raised by both the Secretariat and the Member States. Critical among the many activities that can catalyse the fulfilment of operationalising the ZAMCOM Agreement are the following:

- (a) Member States should work together and jointly strive to raise the required financial resources needed for the implementation of the various activities under this Plan;
- (b) Effort should be made to approach Development Partners to assist with financial resources needed for capacity development within the ZRB as well as with other IWRM programmes;
- (c) While the prioritisation process of the identified activities (gaps) has shown that most of the activities need urgent attention, the implementation process of some activities should run concurrently or in parallel;
- (d) Not all the identified capacity development gaps can be implemented at the same time. This does not however, mean that those gaps that are not included for implementation in the immediate future are not important. These CD challenges are real and must be taken on board in the medium or long-term based on their priority rankings and availability of financial resources;
- (e) Implementation of the activities should follow the prioritised ratings, i. e. starting with 1s followed by 2s until all that is left are activities for the medium and long-term;
- (f) Since those that have to undergo training in the various professional fields are mature entrants and are serving officials in government institutions in the Member States and at ZAMSEC, the duration for such courses should not be extended to more than 3 months. If the courses are of longer durations than 3 months, training should be on-line;
- (g) Those that may be on secondment to ZAMSEC will have already attained their relevant qualifications required for specific activities at ZAMSEC;

The execution of this CDP should start in earnest as there are clear capacity development needs at all levels of ZAMCOM and delaying implementation will not only make the findings stale, but costlier with time. Action on the capacity development needs requires universal commitment among the Member States and the drive from the ZAMSEC.

## 8. REFERENCES

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## **Annex 1: Terms of Reference**

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### **1. Introduction**

The Zambezi Watercourse Commission (ZAMCOM) is a river basin organization set up by the eight riparian states that share the Zambezi River Basin through the ZAMCOM Agreement. ZAMCOM promotes and coordinates the cooperative management and development of the Zambezi Watercourse in a sustainable and climate-resilient manner. The eight riparian states that share the Zambezi Basin are Angola, Botswana, Malawi, Mozambique, Namibia, Tanzania, Zambia and Zimbabwe. The ZAMCOM Secretariat (ZAMSEC) was established in Harare, Zimbabwe in 2014 and is in the process of fully establishing itself and developing capacity to fully undertake its functions in line with the ZAMCOM Agreement and other strategic documents. Other organs of the Commission include the Council of Ministers (CoM) and the ZAMCOM Technical Committee (ZAMTEC).

In view of the fact that ZAMCOM is a new and growing institution, ZAMCOM will need to embark on a process that will enable it obtain, strengthen and maintain the capabilities to set and achieve her own development objectives over time. The United Nations Development Programme (UNDP) defines capacity as the ability of individuals, institutions and societies to perform functions, solve problems, set and achieve objectives in a sustainable manner. In that context UNDP defines capacity development as the process through which individuals, organisations and societies obtain, strengthen and maintain capabilities to set and achieve their own development objectives over time. Capacity development therefore involves much more than just knowledge, skills and experience; or education and training.

Although definitions differ and have been evolving rapidly over the past decade, it is generally accepted that there are at least three levels of capacity. These include the enabling environment (broader system within which individuals and organisations function); the organizational level (internal policies, arrangements, procedures, frameworks, etc.); and the individual level (skills, experience, knowledge, etc.).

Programmatic response to capacity development therefore involves some form of engagement of stakeholders; assessment of capacity assets and needs; formulation of a capacity development response; implementation of the capacity development response; and evaluation of capacity. Some of the core issues include institutional arrangements; leadership; knowledge; and accountability. All too often there is need to examine cross-cutting functional capacities as well. These include capacity to engage stakeholders; capacity to formulate policies and strategies; capacity to evaluate, etc.

In the recent past, ZAMCOM has conducted a capacity building needs assessment study in order to inform her overall capacity development response. Although the study focused mostly on the individual level of the capacity matrix, some coverage of the enabling environment and

organizational levels is included in a background report. The Zambezi Watercourse Commission (ZAMCOM) now wishes to engage the services of a Consultant to prepare a capacity development plan for the Commission.

## **2. Purpose of the Capacity Development Plan**

The overall purpose of the Capacity Development Implementation Plan will be to enhance the performance of the related and relevant institutions and bodies in effectively delivering results that contribute to the overall objective of the ZAMCOM, that being “... the equitable and reasonable utilisation of the water resources of the Zambezi Watercourse as well as the efficient and sustainable development thereof.”

## **3. Objectives of the Assignment**

The overall objective of the assignment is to systematically scope, identify, assess, determine, prioritise and cost the capacity development response based on prior work and a limited number of further consultations.

The specific objectives are as follows:

- (a) To scope the capacity development needs required to enhance the performance of ZAMCOM;
- (b) To clearly identify the areas requiring capacity development;
- (c) To determine the capacity development needs;
- (d) To prioritise the capacity development needs; and
- (e) To prepare a costed Capacity Development Plan.

### **4.2 The Zambezi Watercourse Commission**

The principle objective of the ZAMCOM Agreement is “”. The ZAMCOM Agreement confers certain obligations (*Article 5: Objectives and Functions of the Commission*). Specifically, the Commission has the following functions<sup>1</sup>:

- (a) Collect, evaluate and disseminate all data and information on the Zambezi Watercourse as may be necessary for the implementation of the ZAMCOM Agreement;
- (b) Promote, support, coordinate and harmonise the management and development of the water resources of the Zambezi Watercourse;
- (c) Advise Member States on the planning, management, utilization, development, protection and conservation of the Zambezi Watercourse as well as on the role and position of the public with regard to such activities and the possible impact thereof

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<sup>1</sup> The Zambezi River Basin: A Multi-Sector Investment Opportunities Analysis, Vol.1, Summary Report, The World Bank Africa Region, Water Resources Management, June 2010.

- on social and cultural heritage matters;
- (d) Advise Member States on measures necessary for the avoidance of disputes and assist in the resolution of conflicts among Member States with regard to the planning, management, utilization, development, protection and conservation of the Zambezi Watercourse;
  - (e) Foster greater awareness among the inhabitants of the Zambezi Watercourse of the equitable and reasonable utilization and the efficient management and sustainable development of the resources of the Zambezi Watercourse;
  - (f) Co-operate with the institutions of SADC as well as other international and national organisations where necessary;
  - (g) Promote and assist in the harmonization of national water policies and legislative measures;
  - (h) Carry out such other functions and responsibilities as the Member States may assign from time to time; and
  - (i) Promote the application and development of the ZAMCOM Agreement according to its objective and the principles referred to under Article 12.

The ZAMCOM Agreement envisages that Member States shall conduct their management and development plans, projects and programmes relating to the resources of the Zambezi Watercourse in accordance with a Strategic Plan for the Zambezi Watercourse (ZSP). The Agreement defines the Strategic Plan to mean “a master development plan comprising a general planning tool and process for the identification, categorisation and prioritisation of projects and programmes for the efficient management and sustainable development of the Zambezi Watercourse”.

After more than 30 years with little investment in the ZRB, the entry into force of the ZAMCOM Agreement reflects increasing recognition of the need among the Riparian States to find cooperative solutions to the challenges of development within the basin. With an excess of US\$16 billion in investments under development across the basin, an agreed Strategic Plan to facilitate the equitable and reasonable utilization of water resources in the Zambezi River basin through the identification, categorization and prioritization of projects is now essential.

Development of the Strategic Plan for the Zambezi Watercourse is among the functions of the ZAMCOM Technical Committee (*ZAMTEC - Article 10*). The Strategic Plan is being prepared by the Secretariat for submission to the ZAMTEC for its consideration and recommendation to the Council. The Council is ultimately responsible for approving the development and overseeing the implementation of the Strategic Plan for the Zambezi Watercourse.

A road map for development of the Strategic Plan has been prepared. A number of foundation studies are either under implementation or preparation. These build on the *Zambezi River Basin Multi-Sector Investment Opportunities Analysis (2010)*, the *Dam Synchronization Study (2011)* and include the development of a basin-wide hydrological model, an update of the *Zambezi Environmental Outlook*, a basin wide climate change assessment and scenario planning, along

with enhancement of the *Zambezi Water Resources Information System (ZAMWIS)*. The vision for the Zambezi Basin Strategic Plan is to identify, categorise and prioritise investment projects and programmes providing the overall guiding framework for development of the Zambezi River Basin.

## 5. Scope of Services

The scope of services will be as follows:

- (a) Review, assess and build upon the recommendations of the Capacity Building Needs Assessment Study for ZAMCOM – Final Report and Capacity Building Strategy and Indicative Plan;
- (b) Review and assess other areas of capacity development that may not be explicit in the Capacity Building Needs Assessment report. These include enabling environment and organisational aspects as highlighted in the introductory section of the TORs;
- (c) Carry out further but rapid consultations as required with key members of the ZAMCOM family in order to develop, prioritise and cost specific capacity development activities. These activities should consider enhancing performance of the following domains:
  - (i) Individuals;
  - (ii) The related and relevant organisations;
  - (iii) The supporting institutional arrangements; and
  - (iv) The members of the ZAMCOM network at large.
- (d) Establish a method to prioritise each proposed capacity development programme or activity, and carry out a prioritisation based on consultations;
- (e) Recommend the modality for implementing the Capacity Development Plan recognising the human and financial resource limitations within the ZAMCOM/ZAMSEC;
- (f) Each capacity development activity should be presented as separate work package clearly defining, but not limited to the following:
  - (i) Capacity development programme or activity title;
  - (ii) Overall objective of the capacity development programme or activity;
  - (iii) Target group: i.e. individuals, organisations, institutions and/or networks within the ZAMCOM family;
  - (iv) Indicative outline for the programme/activity;
  - (v) Expected duration of the programme/activity;
  - (vi) Relevant capacity development resource/reference material available;



- (vii) Expected outcomes and results indicators (short, medium and long-term);
  - (viii) Estimated total cost of the specific programme/activity; and
  - (ix) Recommended ZAMCOM priority for implementation – based on consultations, should human and financial resources be limited.
- (g) Formulate an overall costed Capacity Development Plan which should include some core issues such as institutional arrangements; leadership; knowledge; and accountability. Crosscutting functional capacities should also be covered; as well as a monitoring framework.

Consultations with key stakeholders will be carried out in a rapid manner as agreed with the ZAMCOM Secretariat. In recognition of the limitations of time and cost, the consultations could be carried out in person, by telephone, Skype, questionnaires, rapid surveys; and meetings.

## 6. Expected Outputs/Deliverables

The estimated duration of the assignment is 30 days. The estimated person-days are as indicated below.

Output/Deliverable		Person Days
1.	<b>Inception Report</b> – Outline the Approach and Methodology that the Consultant intends to take in carrying out the assignment (Inception Report)	5
2.	<b>Review of ZAMCOM context</b> – Prior study reports and limited consultations and preparation of a Draft Capacity Development Plan (Draft Capacity Development Plan).	15
3.	<b>Preparation of and presentation of the Final Capacity Development Plan</b> (Final Capacity Development Plan).	5
<b>Total Estimated Level of Effort</b>		20 <sup>2</sup>

## 7. Required Expertise and Level of Effort

This assignment requires the services of a Consultant with previous experience in preparing Capacity Development Plans, preferably working in the context of international river basin organisations (RBOs), preferably in the context of international development in Africa, and preferably in the SADC region:

- (a) Advanced knowledge and experience in management or related field with experience in capacity building through substantial (a minimum of 10 years) professional experience in managing, and/or working with relevant transboundary river basin organisations, and/or related governmental and non-governmental water and/or environmental management and development organisations;

<sup>2</sup> This Table is as it appeared in the Terms of Reference.

- (b) Broad-based experience and thorough knowledge of water resources management and the related institutional and organisational requirements;
- (c) Evidence of preparation of capacity development strategies/plans during the past 5 years;
- (d) Practical experience of working closely with government line ministries, stakeholders, as well as with multilateral and bilateral development partners will be useful;
- (e) Familiarity with the socio-economic, bio-physical and water governance contexts of the SADC region, and the Zambezi River Basin countries in particular, is advantageous.
- (f) Demonstrated capacity in applying multidisciplinary expertise and critical analysis to complex water resources management challenges, most often in the context of river basin management;
- (g) Excellent oral, written and presentational skills and fluency in English, knowledge of Portuguese would be an advantage; and
- (h) Exceptional skills in dialogue with diplomacy; ability to work in intercultural environments and under pressure.

## **8. Supervision**

The Consultant will report to the Executive Secretary of ZAMCOM (or a delegated representative), based at the Zambezi Watercourse Commission Secretariat (ZAMSEC), No. 128 Samora Machel Avenue, Harare, Zimbabwe.

## **9. Facilities to be provided by the Client**

The ZAMCOM Secretariat will provide support to facilitate access to information in the Member States and elsewhere by way of covering letters and other support. The Consultant may make use of the office equipment of the ZAMCOM Secretariat at the discretion of the Executive Secretary, such as copy and scanning equipment and computer equipment on which the data will be stored.

The Client will also provide all available documentation and information that may be needed by the Consulting Firm in pursuing the tasks under these Terms of Reference. In addition, the Client will assist the Consulting Firm with work and residence permits as required by the labour laws of the respective countries.

## **10. Due Diligence**

The Consultant shall perform the services in accordance with the Terms of Reference and carry out their services with due diligence, efficiency and economy in accordance with generally accepted techniques, practices, professionalism and consulting standards recognized by international bodies. In respect of any matter relating to the services the Consultant shall always act in respect of any matter relating to the services as a faithful adviser to the employer and shall at all times support and safeguard the employer's legitimate interest.

## Annex 2: Questionnaire



The Zambezi Watercourse Commission (ZAMCOM) is preparing a Capacity Development Plan with a view of enhancing its operations within the basin and beyond. This Plan takes into account the needs at the institutional level, the Member State level and capacity development needs at the individual level within the Secretariat and within Riparian countries.

In 2016, the Commission undertook a Capacity Development Needs Assessment Study in all its eight Member States of Angola, Botswana, Malawi, Mozambique, Namibia, Tanzania, Zambia and Zimbabwe. The study revealed the capacity development gaps at the various levels stated above. It is now desired that these capacity development gaps should be prioritised in terms of their urgency for implementation. Prioritisation is in this survey rated from 1 to 5 as follows:

- 1 - 2** = For implementation in the **short term**, very important and urgent.
- 3 - 4** = For implementation in the **medium term**, important but could wait a bit.
- 5** = For implementation in the **long term**, not so urgent.

You are now kindly requested to rate the following identified gaps at each level. It should take no more than 15 minutes at most. Please insert the rating according to how **you** feel. Additional two rows for each level are provided for you to suggest any areas needing redress that you fill have been omitted.

### A: Capacity Development Needs to support ZAMCOM

No.	Capacity Development Need	Priority rating
1.	Training in Strategic Management and Organisational Development.	
2.	Training in Project Management.	
3.	Training in Conflict Prevention and Negotiation Skills.	
4.	Training in International Law.	
5.	Training in general management.	
6.		
7.		

**B: Capacity Development Needs identified for ZAMTEC<sup>3</sup> and ZAMSEC<sup>4</sup>**

No.	Capacity Development Need	Priority rating
1.	Training in International Water Law.	
2.	Training in Conflict Prevention and Dispute Resolution.	
3.	Training in Economic Valuation of water-related resources.	
4.	Training in Basin-wide Strategic Planning.	
5.	Training in Negotiation Skills.	
6.	Training in Stakeholder Engagement and Consultation processes.	
7.		
8.		

**C: Capacity Development Needs at the Member State Level.**

No.	Capacity Development Need	Priority rating
1.	Training in Principles of International Law.	
2.	Training in Economic Valuation and Assessment of Natural Resources.	
3.	Water Resources Data and Information Management.	
4.	Entrenchment of IWRM Principles within sectors and Environmental Sustainability.	
5.	Institutional Development.	
6.	Application of Integrated River Basin Management and Planning.	
7.	Knowledge and Skills training in Project Preparation and Financing.	
8.		
9.		

**D: Capacity Development Needs at the Individual Level in the Member States.**

No.	Capacity Development Need	Priority rating
1.	Training in International Water Law.	
2.	Training in Conflict Prevention and Dispute Resolution.	
3.	Knowledge and Skills training in Project Preparation and Financing.	
4.		
5.		

End of Questionnaire and thank you very much for your time!

Your Name: .....

<sup>3</sup> Zambezi River Basin Technical Committee

<sup>4</sup> Zambezi Watercourse Commission Secretariat

### Annex 3: Results of the Rapid Consultations

The following are the results from respondents on the prioritisation process during rapid consultations:

#### Prioritisation ratings by respondents for the Council of Ministers

No.	Identified Capacity Need	Respondent									Average
		MW			ZM			ZW			
		1	2	3	1	2	3	1	2	3	
1.	Training in Strategic Planning and Organisational Development.	1	1	2	2	2	-	5	1	-	2
2.	Training in Project Management.	2	2	3	4	3	-	1	1	-	2
3.	Training in Conflict Prevention and Negotiation Skills.	1	1	1	1	1	-	1	3	-	1
4.	Training in International Law	2	2	4	2	4	-	1	3	-	3
5.	Training in general management.	5	5	5	3	5	-	3	1	-	4

#### Prioritisation ratings by respondents for ZAMTEC and ZAMSEC

No.	Identified Capacity Need	Respondent									Average
		MW			ZM			ZW			
		1	2	3	1	2	3	1	2	3	
1.	Training in International Water Law.	2	1	3	4	3	-	3	1	-	2
2.	Training in Conflict Prevention and Dispute Resolution.	1	2	3	2	4	-	1	1	-	2
3.	Training in Economic Valuation of water-related resources.	1	2	3	1	2	-	5	1	-	2

4.	Training in Basin-wide Strategic Planning.	1	3	1	2	2	-	3	1	-	2
5.	Course in Negotiation Skills.	2	2	3	2	5	-	1	1	-	2
6.	Course in Stakeholder Engagement and Consultation processes.	2	1	2	2	2	-	3	1	-	2

### Prioritisation ratings by respondents for Member States

No.	Identified Capacity Need	Respondent									Average
		MW			ZM			ZW			
		1	2	3	1	2	3	1	2	3	
1.	Training in Principles of International Law.	2	1	3	5	4	-	3	3	-	3
2.	Economic Valuation and Assessment of Resources.	1	1	3	1	3	-	5	1	-	2
3.	Water Resources Data and Information Management.	3	2	2	2	1	-	1	1	-	2
4.	Entrenchment of IWRM Principles within sectors and Environmental Sustainability.	1	1	1	1	5	-	3	1	-	2
5.	Institutional Development.	3	3	3	2	3	-	1	1	-	2
6.	Application of Integrated River Basin Management and Planning.	1	4	1	2	4	-	3	1	-	2
7.	Knowledge and skills in Project Preparation and Financing.	3	3	2	3	2	-	1	1	-	2

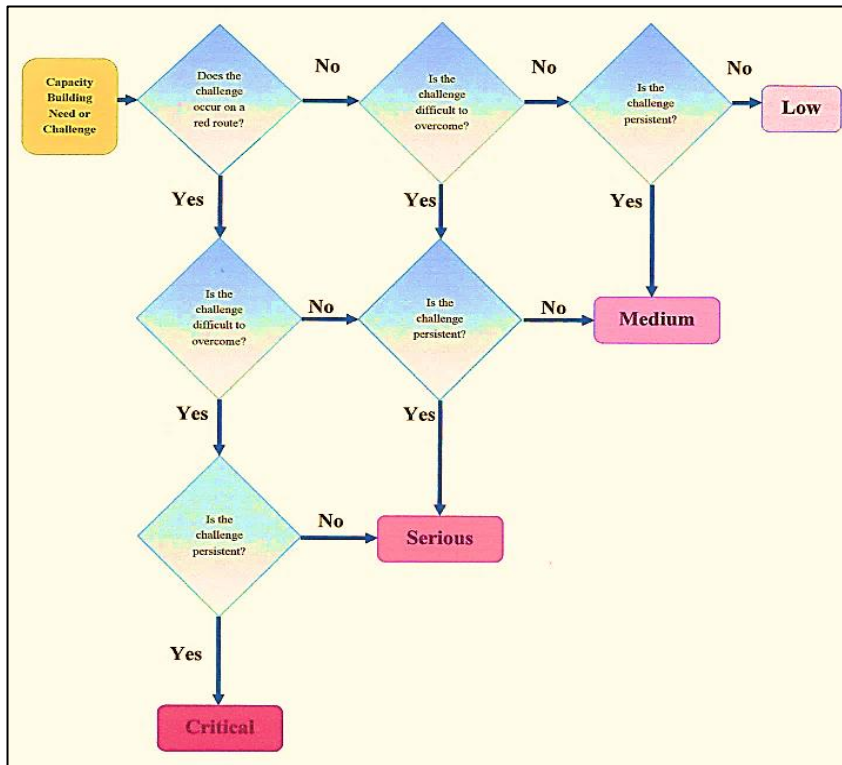
### Prioritisation ratings at individual level in Member States

No.	Identified Capacity Need	Respondent									Average
		MW			ZM			ZW			
		1	2	3	1	2	3	1	2	3	
1.	Provision of training in International Law.	2	1	2	3	4	-	1	1	-	2
2.	Provision of training in Conflict Resolution.	2	1	2	2	3	-	1	3	-	2
3.	Skills in project preparation and financing.	3	2	1	1	1	-	1	1	-	1

## Annex 4: The Prioritisation process for CABNAS and Rapid Consultations

The process below was followed to isolate critical needs that would be tallied with the functions ZAMCOM and lead to the preparation of the CDIP. Not every need or capacity development gap can be considered necessary as an immediate priority for implementation. The findings of the CBNAS and those of the rapid consultations were grouped together and subjected to the following

questions:



**Figure 3: Prioritisation of the Capacity Development needs using the Red Route Analysis**

(a) Does the need (or gaps) occur on a red route?

(b) Is the need difficult for stakeholders to overcome?

(c) Is the need persistent?

A red route is a frequent or critical task which is the most important tasks that a system needs to support or execute (Travis, 2009). In answering the above questions, it will be possible to identify which challenge is critical, serious, of less

serious impact or trivial. If a problem is persistent, it therefore is severe because it has a bigger impact on time and delaying the time a system achieves its goal. The three questions have been put in a process diagram (Figure 3) that the Consultant will use in defining the priority of gaps to address over time within the ZAMCOM establishment. The four stages of severity of an issue may be explained as follows:

**Critical:** This Capacity Development need will make stakeholders unwilling or unable to achieve a common goal and must be fixed urgently.

**Serious:** This Capacity Development need will significantly slow down some stakeholders when confronting a common task and must be attended to as soon as possible.

**Medium:** This Capacity Development need will make some stakeholders feel frustrated or irritated but will not affect operations and completion of set objectives. It could be dealt with at any other time.



**Low:** This Capacity Development need is temporary and minor. Still needs fixing as to many small needs may mean a lot at the organisational level.

By following the procedure explained above, the Consultant was able to arrive at capacity development gaps relevant for the various levels of governance of ZAMCOM. The following are the results pertaining to the various governance levels of ZAMCOM:

### Council of Ministers Level

There were five identified capacity development needs to support the functioning of ZAMCOM and these were taken through the Red Route prioritisation process as explained by Figure 2. The Consultant came up with the following results:

#### Prioritisation of issues at the Council of Ministers Level

No.	Identified Capacity Need	Does the Need follow a red route?	Is the Need difficult to overcome?	Is the Need persistent?	Outcome
1.	Training in Strategic Planning and Organisational Development.	Yes	No	Yes	Serious
2.	Training in Project Management.	Yes	No	Yes	Serious
3.	Training in Conflict Prevention and Negotiation Skills.	Yes	Yes	Yes	Critical
4.	Training in International Law	Yes	No	No	Medium
5.	Training in general management.	Yes	No	Yes	Serious

### ZAMTEC and ZAMSEC Level

There were six identified capacity development needs for ZAMTEC and ZAMSEC, two levels that are important for the operationalisation of the functions of ZAMCOM. Their prioritisation results appear below.

#### Prioritisation of issues for ZAMTEC and ZAMSEC

No.	Identified Capacity Need	Does the Need follow a red route?	Is the Need difficult to overcome?	Is the Need persistent?	Outcome
1.	Training in International Water Law.	Yes	Yes	Yes	Critical

No.	Identified Capacity Need	Does the Need follow a red route?	Is the Need difficult to overcome?	Is the Need persistent?	Outcome
2.	Training in Conflict Prevention and Dispute Resolution.	Yes	Yes	Yes	Critical
3.	Training in Economic Valuation of water-related resources.	No	No	Yes	Medium
4.	Training in Basin-wide Strategic Planning.	No	Yes	Yes	Serious
5.	Course in Negotiation Skills.	No	No	Yes	Medium
6.	Course in Stakeholder Engagement and Consultation processes.	Yes	Yes	Yes	Critical
7.	Training in Diplomacy	No	No	Yes	Medium
8.	Training in the administration of Corporate Instruments and Procedures.	Yes	No	No	Medium
9.	Mobilisation of International Water Dialogues.	No	No	No	Low
10.	Training in Corporate Governance.	Yes	No	No	Medium
11.	Training in the development of planning tools such as State of the Environment and Outlook Reporting and Spatial Mapping.	No	No	Yes	Medium
12.	Training in general management.	No	No	No	Low
13.	Hydrological and hydraulic modelling and river flow forecasting.	Yes	Yes	Yes	Critical
14.	GIS and Remote Sensing.	No	No	No	Low
15.	Data collection, cleaning, processing, analysis, archiving and standardisation.	No	No	Yes	Medium

### Member State Level

There were seven identified capacity development needs at the country level and these were again taken through the Red Route prioritisation process. The Consultant came up with the results as

seen in Column 6 of the Table below.

### Prioritisation of issues at the National Level

No.	Identified Capacity Need	Does the Need follow a red route?	Is the Need difficult to overcome?	Is the Need persistent?	Outcome
1.	Training in Principles of International Law.	Yes	Yes	Yes	Critical
2.	Economic Valuation and Assessment of Resources.	Yes	Yes	Yes	Critical
3.	Water Resources Data and Information Management.	Yes	Yes	Yes	Critical
4.	Entrenchment of IWRM Principles within sectors and Environmental Sustainability.	Yes	Yes	Yes	Critical
5.	Institutional Development.	Yes	Yes	Yes	Critical
6.	Application of Integrated River Basin Management and Planning.	Yes	No	Yes	Serious
7.	Knowledge and skills in Project Preparation and Financing.	No	No	Yes	Medium


### Individual Needs at Member State Level

There were three identified capacity development needs at the individual level within Member States. The following were the identified needs which were also tested for relevance into the CDP.

### Prioritisation of issues at the Individual Level in Member States

No.	Identified Capacity Need	Does the Need follow a red route?	Is the Need difficult to overcome?	Is the Need persistent?	Outcome
1.	Provision of training in International Law.	No	No	No	Low
2.	Provision of training in Conflict Resolution.	Yes	Yes	Yes	Critical
3.	Skills in project preparation and financing.	Yes	Yes	Yes	Critical

## Annex 5: Capacity Development Needs as they relate to ZAMCOM functions

		Functions of ZAMCOM								
		1	2	3	4	5	6	7	8	9
No.	Identified Capacity Development Gap 	Collection, evaluation and dissemination of data and information on the Zambezi Watercourse.	Promotion, support, coordination and harmonisation of water resources management and development.	Provision of advice to Member States on planning, management, utilisation, Development of the ZRB.	Provision of advice to Member States on measures to avoid disputes and assist in Conflicts Resolution.	Enhance awareness on Integrated Water Resources management among the inhabitants off the ZRB.	Cooperation with the institutions of SADC and other international and national organisations where necessary.	Promotion of and assistance in harmonisation of national water policies and legislative measures.	Carrying out other functions and responsibilities as the Member States may assign from time to time.	Promoting the application and development of the ZAMCOM Agreement.
1.	International Water Law.									
2.	Conflict Prevention and Dispute Resolution.									
3.	Natural Resources Assessment and Valuation.									
4.	Strategic Planning on the basis of IWRM Principles.									
5.	Stakeholder Engagement at basin and national levels.									
6.	Promoting Stakeholder ownership through									

	Secondments Arrangements.									
7.	Water Resources Data Gathering and Information Management.									
8.	Institutionalisation of Environmental Sustainability in water resources management.									
9.	Project Preparation Skills and Financial Mobilisation.									

**KEY**

Colour	Responsibility
	It is not applicable; Can wait or delegated to a Consultant.
	Council of Ministers (CoM).
	ZAMTEC.
	ZAMSEC.