



Australia Africa Community Engagement Scheme
Community Led Access to Water, Sanitation & Hygiene

Program Design

2011 – 2016

(revised 29 June 2011 – post peer review)



Matthew Willman/OxfamAus

Executive summary

The Oxfam¹ Australia Africa Community Engagement Scheme (AACES) program focuses on Water, Sanitation and Hygiene (WASH) and public health in two Southern African countries – Zambia and South Africa. Both countries have large rural populations where WASH services are lacking despite progressive policies and the good intentions of both country governments². The overall goal of the program is to improve the health and quality of life of the poor and vulnerable in targeted areas of Zambia and South Africa. The proposed budget for the design and implementation of the five year program is AUD\$7 million.

The objectives for the Oxfam program are:

1. Increased access to, and the effective use of, improved integrated and sustainable water supplies, and sanitation and hygiene (WASH) services;
2. Reduced WASH-related inequalities in gender and vulnerable groups;
3. Strengthened capacity of stakeholders to manage and implement WASH programs on a sustainable basis;
4. Improved WASH governance and effectiveness; and
5. Document and share learning that informs policy, public engagement and program development and growth.

In Zambia, the program will build on Oxfam experience of implementing WASH programs³ and will be aligned with Zambian Government standards and institutions' efforts to provide services over the full five year period. In South Africa the program will be delivered through existing non-governmental partners dealing with food security, HIV and child protection to address identified WASH needs. Initially the program will be building on specific identified needs across current programs in South Africa, with the key learning, pilot activities and research informing a longer term integrated WASH response.

The program approach can be summarised as working through existing partnerships and seeks to: strengthen the effectiveness of government programs; strengthen WASH management (including accountability and transparency by all government officials); and strengthen WASH capacity of beneficiaries, communities, and other private / public stakeholders. Additionally, the program aims to assist partners to advocate for better services including improved service delivery through: increased community awareness around WASH issues; mobilisation of beneficiaries/ communities or creation of networks to secure real commitments; encouragement of demand-driven, sustainable solutions; securing increased financing and increasing the prioritisation of WASH by government structures; developing and strengthening institutional and human capacity; and promoting and capturing learning that is used to influence policies and strategies.

¹ The Oxfam program will be implemented across two Oxfam Affiliates - Oxfam Australia (OAU) in South Africa and Oxfam Great Britain (OGB) in Zambia. Details and relationship included within Annex 5.

² Zambia and South Africa are both signatories to MDG 7, target c which aims to increase water and sanitation coverage. See http://www.wssinfo.org/en/40_MDG2008.html.

³ Including the AusAID funded Water and Sanitation Initiative (WSI)

Outline of the design process

Resolution A/RES/64/292 of the UN General Assembly in July 2010 recognised “...the right to safe and clean drinking water and sanitation as a human right that is essential for the full enjoyment of life and all human rights.” The Oxfam country strategies for South Africa and Zambia both aim to secure this right through a strong Rights Based Approach and with a focus on sustainable access to water, sanitation and hygiene services for the poor and vulnerable in target communities. The WASH program for South Africa and Zambia therefore links to the broader Oxfam strategies, building on existing programs and partnerships in order to secure the expressed right to essential services, and building the capacity of poor and vulnerable communities to participate in and lead this process.

The WASH program was developed in a consultative and participative manner, tapping into experiences of communities and other stakeholders in planning, implementing and managing similar programs. In Zambia, stakeholders of diverse backgrounds and from different disciplines, with rich experience in implementing WASH programs, including the current program under AusAID’s Water and Sanitation Initiative (WSI), participated actively in the planning of this program. In South Africa, existing partners, who work closely with communities, were active participants in the planning process. Initially the South African program will be building on specific needs identified by these existing partners across the current programs, with key learning from community consultation, pilot activities and research informing a longer term integrated WASH response. In this regard, views, interests and experiences of stakeholders shaped the basic elements of this program strategy including the goal, objectives and main activities and will continue to inform the further design and implementation of the program.

Zambia

After the initial AACES design workshop in Nairobi (December 2010), Oxfam consulted extensively with key stakeholders, in Kaoma and Mongu districts, complemented by Oxfam observations and a review of literature on WASH in Zambia and elsewhere. A mix of methods was used to maximise stakeholder inputs; these included in-depth interviews with key informants, focus group discussions, and participatory workshops. Approximately 69 participants (34 in Mongu & 35 in Kaoma) were consulted. These included community representatives including Area Development Committee members, Health Promoters, Sanitation Action Group members, Village WASH Committee members, Neighbourhood Health Committees, and Area Pump Menders. Additionally, civic⁴ and traditional leaders⁵, Environmental Health Technicians, local government managers, heads of government departments⁶, civil society organisation (CSO), implementing partners and Oxfam field officers were also consulted. Women formed approximately 40% of the participants. School children (from School Health Clubs) and their teachers made valuable inputs on school health and nutrition programs. Through the consultative processes, Oxfam tapped into the participants’ rich and extensive knowledge, skills, experiences and lessons from past and current programs to inform the design of the AACES program, content and strategies as well as management arrangements and systems.

Overall, the participants in the processes reflected that the past and current programs had been well implemented; the capacity of participants had increased as a result of their involvement in the projects; the participants had an increased awareness of good hygiene practices; and that the desired impacts of the programs had been achieved. The participants recommended that the nature and content of the future program should continue to align with the previous program, with modifications to address the following key issues and learning:

- Greater involvement of communities in the program planning, budgeting and reporting;
- Improved sanitation facilities for girls in schools;
- Additional capacity building and refresher interventions;

⁴ Ward Councillors

⁵ Included indunas (Area Chiefs or chief’s representatives) and Senior Chief Mutondo of Kaoma District

⁶ Ministry of Health, Ministry of Education, Ministry of Local Government and Housing (The Provincial Support Team Manager – National Rural Water Supply and Sanitation Programme - NRWSSP)

- Greater attention to the operation and maintenance systems;
- Greater coordination and resourcing for school WASH interventions; and
- Improved coordination between stakeholders.

The recommendations obtained through the various consultation processes were also in line with the Oxfam program evaluation conducted in December 2010 which made similar recommendations for future programming. Recent case studies developed through the WSI program have also provided some learning for consideration:

- The importance of working to support and strengthen government agencies and service providers as critical for sustainable WASH;
- Partnerships require significant investment of time and resources, and ultimately depend on CSO and government staff nurturing and building relationships;
- The importance of building skills of CSOs and partners, including government; and
- Engaging vulnerable groups directly in planning and implementation of WASH programs is essential.

South Africa

Oxfam currently manages three long term programs in South Africa, within KwaZulu-Natal, Limpopo and Eastern Cape Provinces, and with specific focus areas of HIV, food security and child protection. These programs collectively support over 40 local partner organisations, approximately 500,000 beneficiaries, and have operated for periods of 13, eight and three years respectively. Within the last 3-5 years partners across these programs have been reporting increasing challenges related to access to water. Although Oxfam has supported small scale activities in response to these challenges, such as the provision of water harvesting equipment and advocacy training to support local government engagement, the AACES program will provide Oxfam with the opportunity to address these issues more extensively and to integrate broader WASH elements into Oxfam’s existing programs.

After the initial AACES design workshop in Nairobi, consultations in South Africa specifically targeted a small number of existing Oxfam partners within the uMkhanyakude, uGu and Sisonke Municipal Districts. These partners⁷ were targeted because they had identified a need for a WASH program within their target area, and they had been identified as having a level of capacity in which implementation could be supported. The specific issues being experienced by these partners were also identified as having close linkages to the three sectors of the existing Oxfam programs which are focused on HIV, child protection and food security. The following priority areas for WASH interventions were identified:

Table 1: Priority areas for WASH interventions

WASH related risk to current programming	Priority area for WASH intervention
HIV - Increased vulnerability to opportunistic infections for people living with HIV due to insufficient water supply and/or poor water quality for proper infection controls, basic hygiene and food production.	Improved WASH to reduce likelihood of opportunistic infections.
HIV - The potential for specific parasites to impact on the efficacy of antiretroviral treatment.	Carryout a study that identifies parasites and other WASH related diseases that might compromise ART efficacy.
HIV & Children - Mother to child transmission of HIV is compromised unless safe water is available for infant feeding.	Addressing issues of access to safe water. Addressing issues of awareness for mothers.
Child protection - Compromising infant feeding with unsafe water.	Addressing issues of access to safe water. Addressing issues of awareness for mothers.

⁷ Lima Rural Foundation and Operation Upgrade in uMkhanyakude, Woza Moya and Save the Children in Sisonke district.

Child protection – impact on the health of children within informal crèches due to lack of appropriate / sufficient water and sanitation facilities and hygiene education.	Improved WASH to improve health of children within informal crèches.
Food security – long term drought and poor access to clean and sufficient water for consumption and household food production.	Provision of water harvesting, purification and collection technologies. Education on water resource management. Provision of locally appropriate and drought tolerant seeds. Support for local advocacy regarding access to water. Installation of bore holes and small catchment dams where relevant.
Food security & HIV – poor nutrition and lack of resources for food consumption and the impact on people living with HIV	As noted above

Interviews were also conducted with other existing partners and NGOs working in the WASH sector including Mvula Trust, Tsogang, AquaManzi, as well as government officials within the Department of Water Affairs and Forestry (DWaF) and the eThekweni Municipality. Further consultation and engagement with the Sisonke, uGu and uMkhanyakude District Municipalities, and other relevant municipalities, will occur throughout the program. Save the Children, Woza Moya and Operation Upgrade have existing relationships with relevant municipality officials and, in the case of Operation Upgrade, prior engagement has already occurred around access to water within existing projects supported by Oxfam. Additionally, other partners within the food security program in uMkhanyakude⁸ are working to address some of the broader development challenges in the uMkhanyakude District Municipality. Poor / lack of service delivery by government, especially access to water, have adversely affected the way in which partners are able to deliver their programs. The partners are receiving capacity building support from Oxfam to lead and advocate for the effective delivery of water by the local government. This work will be further strengthened, broadened and built upon through the AACES program.

Given the exploratory nature of the planning process in South Africa, Oxfam will focus year one activities around piloting projects and approaches in order to establish a strong foundation for the rest of the five year program. Beneficiaries will be strongly involved in the design of these pilot activities. Partners and communities will be assisted and trained in conducting participatory processes so that they effectively engage with beneficiaries and together design WASH programs that reflect the needs of all community members (men, women, children and vulnerable groups such as people with disabilities and those affected by HIV and AIDS). Beneficiaries will be involved in the planning, objective setting, implementation, monitoring and learning of the program. Initial attention will be given to identifying the capacity building support required for each of the partners in order to enable them to undertake participatory WASH assessments, as well as the integration and implementation of WASH activities. Community consultations will then occur within each of the pilot processes and will include the collection of baseline data and local gender and power analysis. These processes will determine the development of detailed implementation plans for the communities. Once these pilot activities have been completed, implementation models will be developed for the longer term program.

Overall AACES Program

During the design process a literature review was also conducted which consolidated information on pertinent policy documents, program evaluations and knowledge gained from Oxfam and other agencies working in the sector. The literature review provided the Oxfam design team with a snapshot of key issues and policies related to WASH from an international and regional perspective, considered some common climate change adaptation mechanisms for high risk areas, as well as highlighted some of the key issues

⁸ Partners include: Tholulwazi Uzivikele, Ophondweni Youth Development Initiative, Fancy Stitch, Maputaland Development and Information Centre, Isibani Sethembe, Hluhluwe Advent Creche, Lima Rural Development Foundation

experienced by vulnerable groups such as children, people with a disability and people living with HIV. This information was used to further inform the Oxfam design team's planning and the discussions that occurred within the Oxfam design workshop which occurred in Durban in February 2011. During this design workshop Oxfam was also joined by a WaterAid representative who contributed his experience implementing a sanitation improvement approach that draws on Community Led Total Sanitation (CLTS) and Participatory Hygiene and Sanitation Transformation (PHAST) in Tanzania.

In addition to the development of the plan, the workshop also provided an opportunity to enhance Oxfam staff capacity through reflections on the literature review, engaging with the Zambian and South African contextual analysis and exploring the outcomes of country consultations. The team also had an opportunity to increase their understanding of the complexities and challenges presented by an integrated WASH approach and to assess various implementation strategies. Although building a common understanding between the two country teams was time consuming, and developing an integrated program design was challenging, important commonalities emerged. In particular the underlying, common community experiences across the very different South African and Zambian contexts were identified. These are noted in the situation analysis below. Finally, as part of the continued program development and consultative approaches, Oxfam provided regular feedback to the different stakeholders involved in the design process. The result has been a flexible design with sufficient space for stakeholders to meaningfully participate in planning, managing and leading the program throughout its lifespan.

Situation Analysis

Oxfam's approach to AACES draws on the confederation's experience in delivering integrated programs through a "One-Program Approach"⁹ in Southern Africa and globally. It is also consistent with the "external change goals" and central commitment to "Active Citizenship" and "Accountability" as articulated in the current Oxfam International strategic plan (*A Just World Without Poverty*), Oxfam Australia's strategic plan and the recommendations of the recent Mid-Term Review (MTR) of this plan. The program responds and aligns with priority areas identified in both the Oxfam country strategies for South Africa and Zambia.

The Zambian country strategy prioritizes community led WASH, along with health and education, as Oxfam's key priorities for the Right to Essential Services aim. The country program also addresses Economic Empowerment, Disaster Risk Reduction and Women's Empowerment as related issues. The AACES program in Zambia will build on and extend current WASH programming which has been supported by WSI. In South Africa the primary focus of the Essential Services component of the country strategy is improved provision of health services, with an emphasis on people living with HIV. Ensuring food security and improving community level WASH strategies are also significant elements of the country strategy to improve health outcomes in South Africa.

Zambia

The Oxfam AACES program will be implemented within Mongu and Kaoma districts in Zambia's Western Province. The province is considered the poorest¹⁰ in the country, with over 80% of the population in Mongu district living in poverty, and approximately 62% living in extreme poverty. The province is characterised by low access to safe water (28.4%), low access to latrines (less than 1/3 of households have access to a latrine) and in Mongu 90% of the population use open defecation¹¹. An Oxfam study conducted in 2007 found that 80% of households use unprotected water sources, with half of the sampled water sources being contaminated with faecal matter. This study also highlighted the high prevalence of WASH infectious diseases and communities' limited knowledge of the link between these diseases and water, hygiene and sanitation. Both districts have a population of around 162,000 and are characterised by

⁹ The *one-program approach* is defined as the selective integration of Oxfam Australia's long-term development, humanitarian and advocacy interventions in order to deliver the greatest impact.

¹⁰ Mongu District Development Plan 2006 - 2011

¹¹ Ibid

remote and isolated rural communities. In Mongu and Kaoma malaria, diarrhoeal and bilharzias are leading causes of sickness and death¹², particularly among under-five children. Kaoma, for instance experiences around 96,000 cases, an incidence rate of 546.5 / 1000. Incidence rates and trends for other diseases for Kaoma are as shown in the table below. Both districts have limited access to services including health and education services.

Table 2: Disease Incidence rates

Disease	Incidence Rate / 1000		
	2007	2008	2009
Diarrhoeal among all ages	87.6	72.0	70.0
Eye Infection	67.6	61.5	52.0
Skin Infections	47.9	28.8	29.8
Intestinal worms	54.4	46.0	30.0

Source: Ministry of Health Presentation. Kaoma Stakeholder consultative Meetings 8th February 2011

Prior and current interventions in Western Zambia focusing on WASH include the construction of water points funded by Danida, which was heavily focused on infrastructure and did not meet all WASH needs. UNICEF has supported Oxfam and other partners through technical training on Community Led Total Sanitation (CLTS), while Village Water has also carried out WASH interventions in the province which are coordinated with, and complementary to, the Oxfam program. Using similar approaches and strategies, Village Water and Oxfam currently implement programs in different wards within Mongu and Kaoma districts, supporting the implementation of the National Rural Water Supply and Sanitation Program (NRWSSP) and the School Healthy and Nutrition Program (SHN).

Despite the Zambian NRWSSP, and other relevant policies and legislation in respect to WASH being in line with the Africa Water Vision for 2025 and the SADC Regional Water Policy and Strategy, implementation is slow and uncoordinated. The responsibility for the implementation of government WASH programs is split across a number of legal frameworks and ministries, making the management and coordination complex and difficult. The Ministry of Local Government and Housing is responsible for rural water supply and sanitation; the Ministry of Health is responsible for sanitation and hygiene promotion; the Ministry of Education is responsible for school sanitation and the Ministry of Energy and Water Development is responsible for water resource management. Characterised by insufficient human and financial resources, the Zambian government WASH program focuses on crisis management of epidemics, with malaria and diarrhoea listed as key public health priorities. The current Oxfam program, and the proposed continuation through AACES, maintains a key focus on ensuring the improved coordination and implementation of the NRWSSP.

Government policy seeks to involve communities in rural development sectors. However, the policy is implemented to varying degrees in different sectors, regions and levels of operation. The extent to which communities are engaged is also influenced by the level of skills in community development of the officers involved in projects. In the Western Province there is considerable support from government and local government agencies to engage communities. The tension is usually around the extent to which, and in what way, the communities should be engaged. In most government projects in the rural areas, communities contribute to investment costs in several ways. However, a lot of work needs to be done on deepening the involvement of communities in decision making around community priorities and strengthening other governance dimensions (accountability, transparency, participation, etc). In order to increase the sustainability of interventions, the Oxfam AACES program needs to have a strong focus on this space - strengthening governance and the meaningful participation of communities.

¹² Mongu and Kaoma District Development Plans 2006 - 2011

The National Gender Policy identifies access to safe and adequate water supply and appropriate sanitation services, as well as meaningful participation of women in decision making as key gender issues. Gender inequality is recognised as the principal driver of poverty in the country with women being the poorest and most marginalised. Poor access to water and sanitation accounts for over 80% of communicable diseases, and women and children bear the disproportionate burden of ill-health and attendant indigence as a result. In addition, access to safe and adequate water supply impacts directly on women's lives and as a result affects the health of children and the entire family. Women often bear the disproportionate burden of water collection, use and management as well for food production, yet they remain the most disadvantaged, having no control over productive and social resources. Girls, for instance, drop out of school to assist their mothers in household chores, food production and water related activities. This undermines their right to access formal education – a fundamental human right.

The Oxfam Gender Inventory carried out in December 2010 by the Zambia Association for Research and Development (ZARD)¹³ revealed that current WASH programs were strong in delivering water and sanitation infrastructure as well as ensuring the representation of women in various committees. The report, however, revealed that program planning, management and decision making were top-down and centralised, a situation which did not contribute to the empowerment of women and the realignment of power relations between men and women. The core recommendations of the research were increased participation of women in decision making and the enhancement of women's technical skills to participate in what are usually considered men's domains such as construction of infrastructure.

During the AACES design consultative processes, and with the situational analysis noted above, stakeholders recommended that the current Oxfam program, and the proposed AACES program, should continue supporting government to implement relevant components of the NRWSSP and the SHN. A significant element of this will be the capacity building of women and men in communities, as well as other stakeholders, to plan, manage and sustain community WASH programs and deepen participation to enable, in their words, "the community to decide what is best for them."¹⁴ The stakeholders also recommended the program continue to support the construction of water and sanitation infrastructure and raise awareness on and facilitate desired behavioural change on gender equality and hygiene.

South Africa

The initial pilot projects will be implemented within uMkhanyakude, uGu and Sisonke districts in KwaZulu-Natal (KZN) province. All are rural areas with remote and isolated communities with low income, few employment opportunities and limited infrastructure including schools, roads, electricity and water. These districts also experience poor government service delivery, due in part to the poor income base for the local municipalities. HIV prevalence is also high with prevalence rates of 39.7%, 40.2% and 35.2%¹⁵ respectively.

uMkhanyakude District reports approximately 64% people in need of water and 96% in need of sanitation¹⁶. The district also has fluctuating high levels of malaria and cholera principally due to poor water supply, poor hygiene, inadequate sanitation, and the pollution of water bodies with faecal pollution. Pongolaport dam is the primary source of water within uMkhanyakude, however this is used primarily for agriculture despite statements at a recent KZN Water Summit assuring the population that reticulation plans would be prioritised. The remote location of communities within uMkhanyakude has also resulted in the municipality struggling to retain skilled staff to provide regular water to its citizens. Much of northern uMkhanyakude has extremely sandy soils which has also poses a significant challenge for sanitation.

¹³ ZARD (2010) Gender Inventory Report. Oxfam Zambia Office

¹⁴ Stakeholder Consultation Workshop in Mongu 7th February 2011. Group 1 Presentation.

¹⁵ Department of Health, 2009 - http://www.doh.gov.za/docs/reports/2010/hiv_syphilis_09.pdf

¹⁶ uMkhanyakude District Municipality Water Services Development Plan, 2002

uGu District reports that around 40% of the population still need access to potable water and 70% percent do not have access to basic sanitation¹⁷. Backlogs are not evenly spread across the municipality with urban coastal areas receiving significantly better services than inland rural communities. While this is due in large part to historical inequities, there also appears to still be a bias towards extending and improving services for towns.

Within the areas in Sisonke District where the pilot activities will occur there is limited electricity and sanitation, and rivers and boreholes are the only water sources. The Sisonke Integrated Development Plan¹⁸ reports that only 41% of households have flushable toilets, 35.1% use pit latrines and only 10.2% of households have access to piped water.

Detailed assessments conducted by Oxfam in 2007 with partner Operation Upgrade in uMkhanyakude proposed a number of small scale interventions to address some of the key issues being experienced within the community. Over the past few years support has been provided for the provision of household and community water tanks and water harvesting materials, hippo rollers¹⁹, hygiene promotion training as well as support for the development of locally made water filters and engagement with the local municipality around longer term access to water. However, these latter two activities have experienced difficulties and delays and it has also become evident that broader support is required which addresses all elements of WASH more comprehensively. Likewise, an increasing number of current Oxfam partners have identified issues related to water that are not currently being addressed by either government services or other NGOs within the areas in which they operate. The key issues are highlighted in Table 1 above (pages 4-5).

Recent Oxfam research into uMkhanyakude District Municipality²⁰ has shown that despite increasing water insecurity having a significant impact on food security, the district has a well constructed and researched Integrated Development Plan (IDP) and Water Services Development Plan (WSDP) which outlines backlogs and the future planning of water services provision. The main obstacle to water provision within this municipality is the shortage of water and funds. The shortage of funds is largely due to the low revenue base of the municipalities (many indigent households) and the insufficiency of Equitable Share Funds (received from the national government) to cover all basic services that need to be supplied to the rural inhabitants of the municipality. This research also highlights the effect that water insecurity is having on food security within this district.

As in Zambia, the government responsibilities for the various elements of WASH have been separated, with the Department of Water Affairs and Forestry responsible for water, the Department of Human Settlements responsible for sanitation, the Department of Education responsible for school sanitation, the Department of Social Development responsible for children 6 months to school aged, and the Department of Health responsible for health and hygiene work. In some cases departments also have differing district boundaries contributing further to poor coordination between infrastructure and health and hygiene. As with Zambia, local municipalities are responsible for the provision of water and sanitation; however they face enormous capacity challenges and require support in managing finances, finding, retaining and skilling staff and planning. Historically, the focus in South Africa has been on big dams and irrigation rather than domestic water supply and there is generally a water and sanitation service delivery backlog. Little attention has also been paid to health and hygiene promotion despite there being adequate financial resources available to the government.

Despite the commitment of the South Africa government to engage civil society generally, and despite the Strategic Framework for Water Services and the National Water Act also legislating community

¹⁷ uGu municipality Notes from the Water dialogue report , 2008

¹⁸ Sisonke District Municipality Integrated Development Plan, 2008/09

¹⁹ A device fused or carrying water more easily and efficiently than traditional methods (<http://www.hipporoller.org/>)

²⁰ uMkhanyakude Partnership (Food Security) Program, Water Security Advocacy Scoping for Oxfam Australia, developed by The Mvula Trust, Geraldine Hochman and Xola Ntobongwana, October 2009.

engagement, this does not occur with any consistency or real meaning. Generally, municipalities have seen this as onerous, bringing in conflicting ideas and requiring budgetary support, rather than viewing this as an opportunity to strengthen programs. In some cases Ward Committees²¹ have even been disbanded as responsibility was devolved to municipalities and councillors believed they were no longer required. As a result, the relationships between municipalities and community based organisations have often been problematic and these relationships will require considerably more support within this program to see effective and meaningful community engagement. This will be a key focus of the AACES program.

Regarding sanitation, the national government of South Africa has the resources and policies to deliver, and recognises their responsibility to deliver. Despite this recognition there remain significant gaps in sanitation coverage within the target areas. In other Oxfam WASH programs such as the WSI portfolio, community based approaches such as CLTS have proven to be successful in improving access to and use of sanitation facilities. There is significant opposition and concern within the South Africa WASH sector, however, about the relevance of delivering sanitation services using a community based approach due to concerns that this could act as a disincentive to the government to deliver on its responsibilities. Moreover, CLTS is seen to contradict innovative technologies such as the urine diversion toilets promoted in response to water scarcity and cost. The success of CLTS in Oxfam's WSI portfolio suggests to Oxfam that the reluctance to take up CLTS in South Africa merits closer examination and a review will be undertaken within year one of the program.

Traditional Zulu society is hierarchical, patriarchal and ascribes specific roles for both men and women. Polygamy is prevalent; access to resources such as land and water are gendered; domestic and reproductive tasks, including caring for children and the sick, fetching water, growing crops for household consumption, cooking and cleaning, are all seen as women's work. Access to safe and adequate water supply impacts directly on women's lives, as they often bear the disproportionate burden of water collection, use and management. Additionally, if people fall sick drinking unclean water the burden of work and care increases on the female household members. In recent years the impact of HIV and AIDS on the burden of care has placed extraordinary pressure on women and households more generally. Operation Upgrade, and other Oxfam partners, have observed that this burden has been further exacerbated with the inability to source sufficient water due to long term drought for cleaning, general household consumption and for growing crops.

Oxfam programs are designed to ensure both women and men enjoy equal rights, opportunities and outcomes. Gender equality is a key objective of the various Oxfam strategic plans, and Oxfam is dedicated to ensuring more adult and young women will have control over their lives and live free from violence through changes in attitudes about gender relations; and through increased involvement and leadership in institutions, decision-making and change processes. The South Africa Oxfam office has extensive experience in facilitating and supporting gender conversations and conducting power analysis, as well as having developed a gender self assessment tool for partners and established community of practices amongst partners to share knowledge and issues. Through the current HIV program, Oxfam has also moved beyond the polar gender identities to include discussions around sexuality and identity through partner seminars and workshops on Gender, Sex and Identity. This program has also supported partner activities to increase the involvement of men within community care work, through various innovative approaches that have assisted in encouraging their participation, breaking down gender stereotyping and have also seen an increase in pride and dignity of the men involved. Participating men are now considered role models within their communities. Key learning from current programming in South Africa will be shared to ensure effective engagement of women and men within the AACES program.

²¹ Elected bodies which provide a link between the community and the council. They are a facilitating forum representing community interest to the council, are defined by the needs and conditions of the community and are transparent and accountable to the community as a whole.

Overall AACES Program

Although the contexts and the program approaches within South Africa and Zambia vary considerably, a number of commonalities were identified which provide some unique opportunities for learning across countries and with broader AACES NGOs:

1. Poor access to clean water sources and sanitation.
2. Isolated poor rural communities and low employment.
3. High prevalence of WASH infectious diseases that interact with HIV and AIDs thus increasing the risks of transmission of the former and places additional care and support burdens on adult and adolescent women.
4. National governments with promising WASH programs and water and sanitation policies but poor implementation, low prioritisation of WASH services in local development plans and poor operation and management (O&M) track records.
5. Existing programs that focus on access to water for women assumes that improved access leads to a reduction in gender inequities which is not necessarily the case.
6. Lack of sanitation services in schools for girls for “menstrual management”.
7. Complex delegation of responsibilities within the various government bodies with sanitation, hygiene, water, water resource management and school sanitation.
8. Inadequate coordination between the various government bodies resulting in poor implementation, minimal community participation, facilities that may not address community needs and a heavy focus on infrastructure.
9. Devolvement of responsibilities to local municipalities with limited resources and knowledge to implement.

Based on the contextual analysis, the following present as opportunities in support of the design and implementation of the program:

1. Existing programs and partners in which to implement the WASH program;
2. Experience, knowledge and capacities built by Oxfam’s WSI portfolio and other WASH programming;
3. Experience, knowledge and capacities across the two programs in gender, advocacy and capacity building of partners;
4. Opportunities to share learning across the two countries, in particular around the different approaches being undertaken;
5. Facilitative WASH policy and legislation in place that provides the backbone for change and improvement to take place;
6. Strong government focus on achieving their Millennium Development Goal (MDG) targets;
7. In Zambia, the decentralization of the planning, management and monitoring of the provision of WASH provides more opportunity to develop sustainable capacity at local levels; and
8. In South Africa, there is adequate finance through Municipal Infrastructure Grants (MIG) to provide a basic level of service to all, so there is no need for the program to focus on extensive infrastructure provision.

Program Objectives

In alignment with the AACES program framework, the overall goal of the program is to **improve the health and quality of life of the poor and vulnerable in targeted areas of Zambia and South Africa**. While the Oxfam program will focus primarily on WASH, the design of the program is also intended to result in impact on community level food security and maternal and child health. Although the specific issues being experienced across the two countries vary, common overarching program objectives have been identified.

The **Oxfam Program Objectives** are:

1. Increased access to, and the effective use of, improved integrated and sustainable water supplies, and sanitation and hygiene (WASH) services;
2. Reduced WASH related inequalities in gender and vulnerable groups;

3. Strengthened capacity of stakeholders to manage and implement WASH programs on a sustainable basis;
4. Improved WASH governance and effectiveness; and
5. Document and share learning that informs policy, public engagement and program development and growth.

How the Oxfam objectives align and work to support the overall AACES objectives is explained and represented in Annex 1 and also discussed and explained further within the Major Activities section below.

Program Strategy and Ways of Working

Oxfam's "One-Program Approach" to change

Oxfam employs a range of mutually reinforcing strategies to bring about change in the areas in which it works. These strategies comprise the agency's "one-program approach" and can be broadly grouped as long term development, responding to humanitarian crises and campaigning. Each strategy engages with power relations within all spheres and at all levels of society. They range from campaigning at the global level as Oxfam International to bring about structural changes in global institutions and norms, to working with partner organizations to provide services in response to community need and where gaps in government service delivery are identified. Oxfam works with local civil society organizations (CSOs) to transform the norms, attitudes and behaviors that produce and reinforce unequal power relations – particularly between women and men – that result in inequality and the unjust distribution of power and resources. Oxfam works to influence governments - and other power bearers such as traditional, religious and business leaders - to ensure people, particularly women, people living with a disability, and other marginalized groups, are able to claim and defend their rights. The program strategy below describes the rationale and assumptions that underpin Oxfam's approach, how this will be articulated in the implementation of the AACES program and link to other programs currently supported or delivered by Oxfam.

Theory of Change and Program Strategy

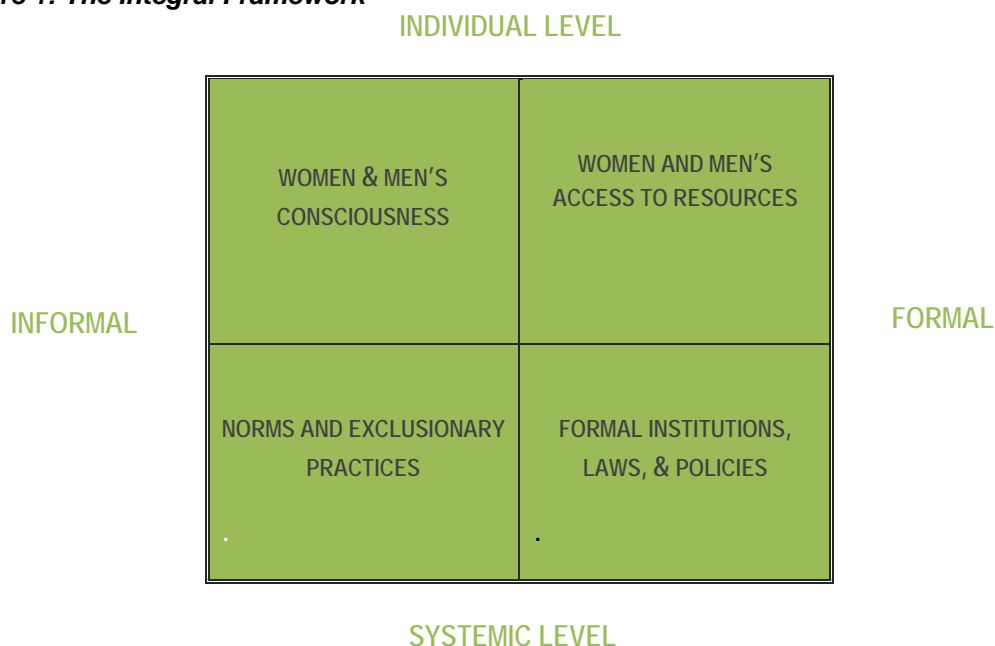
As can be seen from the complex contexts in which this program will operate, the effective delivery and uptake of WASH programs in Zambia and South Africa will require change to occur in multiple spheres. These range from changes in cultural and institutional systems to changes at an individual level such as people's attitudes and beliefs or their access to and control over resources. Acting to influence social change is inherently complex and the outcomes are reliant on external shifts in context. Given this complexity, the impact and sustainability of a program is contingent on its contribution to the capacity of women and men to claim their rights, respond to external trends and shocks, influence those with power and to hold duty-bearers to account. For this reason, Oxfam's approach to implementing AACES is a rights-based, participatory and capacity-building approach that aims to support community members and social change organizations to improve their, and their communities, health and quality of life. This approach draws on current literature regarding theories of change²², research into the influencing strategies employed by a sample of Oxfam partners in South Africa²³, regional and agency-wide reflection processes, regular program monitoring, evaluation and learning (MEL) processes in Zambia and South Africa, as well as data gathered throughout the AACES design process. Implicit in the formulation of the AACES objectives is a rights-based argument that the duty to deliver essential services such as WASH rests with the state and that citizens should have a voice and active role to play in the design, implementation, governance and monitoring of these initiatives.

²² See Aragon, A. "A Case for Surfacing Theories of Change for Purposeful Organisational Capacity Development" in *IDS Bulletin*, Vol 41, No. 3, May 2010, 00. 36-46; Aragon, A. & Macedo, J. "A 'Systemic Theories of Change' Approach for Purposeful Capacity Development" in *IDS Bulletin*, Vol 41, No. 3, May 2010, pp. 87–99 and Reeler, D. *A Theory of Social Change and Implications for Practice, Planning, Monitoring and Evaluation*, Cape Town: Community Development Resource Association.

²³ Phillips, M. *Oxfam HIV & AIDS Program (OHAP): Partner Advocacy Mapping*, 2011.

In a recent mapping of influencing strategies employed by CSOs supported through Oxfam’s HIV and AIDS Program (OHAP) in South Africa, staff of ‘service delivery’ organisations identified multiple examples of their engagement with power structures at various levels to influence change²⁴. This research found that Rao and Kelleher’s “integral framework”²⁵ (see Figure 1) proved a useful tool in articulating the approach of Oxfam and its partners in working towards the objectives of the program. The framework suggests that in order to effect long term, sustainable change in the lives of women and men, the social systems and institutions that determine the distribution of power and goods must be transformed. The framework provides a model of the various spheres in which change needs to occur in order to achieve this transformation.

Figure 1: The Integral Framework



The strength of this approach is that it challenges assumptions that change in one area, such as the formal/systemic arena of WASH policy reform at the national level, necessarily results in improvements in the ability of individuals to access infrastructure, services and knowledge. Rather than presenting a theory of change in the form of a linear logic model, this framework accommodates complexity and recognises that strategies to achieve change in one sphere will have effects in others and can, therefore, be supported by complementary changes in others. This analysis is particularly significant in the South African and Zambian contexts where delivery and effective use of WASH services are highly inadequate despite the alignment of relevant policies to global ‘best practice’. This approach is further supported by recent learning from the WSI program which has emphasised the importance of working within the following areas (which align with the spheres noted above) to ensure the sustainability of WASH programming: learning and sharing of information and experiences; strengthening government; reducing inequity/exclusionary practices in the provision of services.

The work of OHAP partners in enabling access to Voluntary Counselling and Testing (VCT) as well as treatment, care and support for people living with HIV provides an interesting example of how diverse activities conducted by multiple actors can create the conditions for change to occur. All participating CSOs reported success in working with some traditional and religious leaders to influence changes in the informal/systemic realm of cultural norms and exclusionary practices. These changes complemented their efforts to provide access to services such as VCT by addressing the stigma and discrimination connected to attending the clinic. OHAP also supported the work of a national campaigns organisation that used the judiciary to influence the government to assume responsibility for the delivery of antiretroviral drugs to HIV

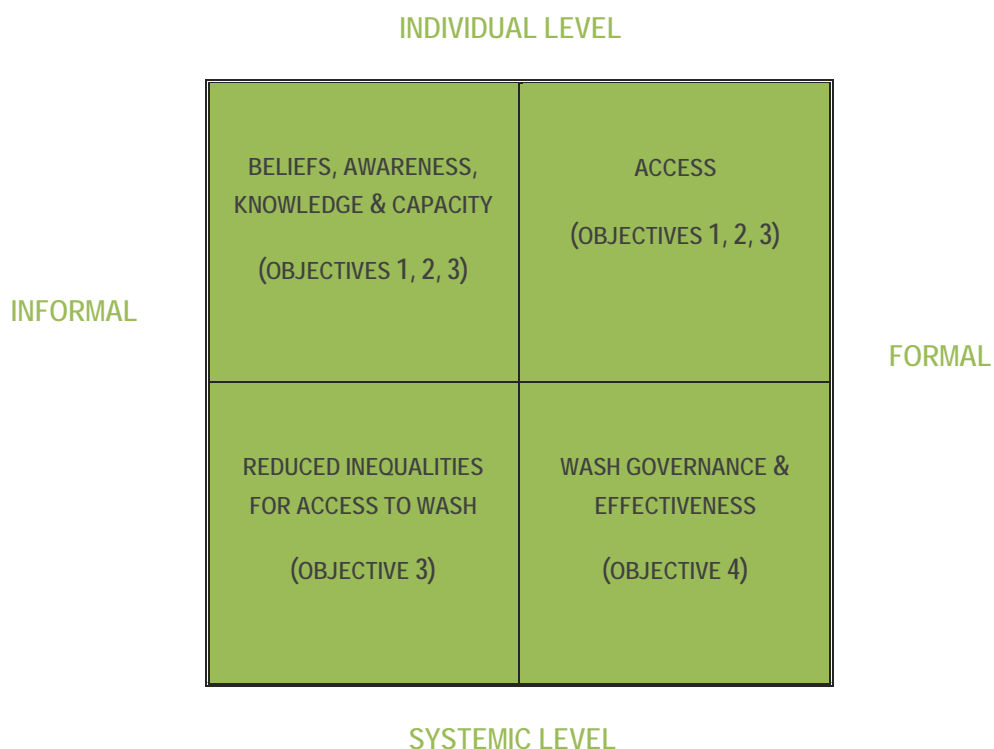
²⁴ Phillips, M. *OHAP Partner Advocacy Mapping*, 2011.

²⁵ See Rao, A. and Kelleher, D. “Is There Life After Gender Mainstreaming?”, *Gender at Work*, 2005.

positive pregnant women to assist in the prevention of mother to child transmission (PMTCT). In this example complementary changes were brought about in all Rao and Kelleher's spheres of change. While it would be an overstatement to claim that these changes occurred due to the individual strategies of partners or of Oxfam's management of the program, all parties contributed in some way to bringing about the conditions whereby significant changes could occur at multiple levels.

Analysis of the political context of WASH in both Zambia and South Africa suggests that government bodies are relatively open to engaging civil society in moments of policy reform and as partners in implementation. In Zambia this is evidenced by Oxfam's current working relationship with the Zambian Ministries of Health and Education as well as a number of district level offices. As discussed in the situation analysis the relationship between civil society and government is more problematic in the South Africa context. However, these challenges present opportunities for Oxfam to work with strategic partner organisations, and the relevant municipal and provincial government departments to facilitate coordination of WASH related activities. Traditional leadership structures hold significant amounts of power and influence in the context of rural South Africa. Oxfam partners have demonstrated the ability to influence change at this level so this approach needs to be incorporated into ongoing power analysis. It also provides an opportunity to document the strengths, challenges and impacts of this engagement to influence decision makers who may consider replicating and resourcing the approach elsewhere.

How this strategy directly relates to the AACES program can be seen below in an amended framework which reflects how the AACES objectives are looking to address the four spheres noted above.



In order to address these four spheres the following approaches / key activities will be undertaken:

- **Beliefs, Awareness, Knowledge & Capacity:** through increasing knowledge and awareness of WASH; increasing awareness of rights; increasing awareness and acceptance of the role of women and other vulnerable groups within the program; increasing the ability of communities to hold duty bearers to account; increasing capacity to implement and management elements of WASH.
- **Access to WASH Services:** through the provision, operation and maintenance of appropriate, sustainable WASH facilities, either through the provision of services by community based organisations or the government.
- **Reduced inequalities in WASH:** through the provision of facilities and services that meet the needs of women and vulnerable groups; equitable access to WASH services by men, women, children and vulnerable groups; improved participation of women and vulnerable groups within the design,

management and implementation of the program; improved participation of women and vulnerable groups to defend their rights at community and government level.

- **WASH Governance and Effectiveness:** in this area the approaches being undertaken by Zambia and South Africa will differ.
 - Zambia: through facilitating improved coordination amongst duty bearers and the community; enhancing participation of the poor and vulnerable in decision making; increasing transparency and accountability in the delivery and management of WASH services; and increasing capacity of government bodies to engage communities to ensure the provision of appropriate services.
 - South Africa: through facilitating the active involvement of the community in the WASH sector; supporting partner assessment and monitoring of the provision of services by government; supporting community advocacy and engagement with government to hold duty bearers to account.

Ways of Working

Geographic Focus and Influence beyond the Australian Aid Program

The majority of activities that will contribute to AACES Objective 1 will be implemented in rural communities in Zambia and South Africa, specifically within the following target areas:

- Mongu and Kaoma districts in Western province of Zambia;
- KwaZulu-Natal, Limpopo and Eastern Cape provinces in South Africa.

Within South Africa, initial year one activities will be focused within uMkhanyakude, uGu and Sisonke Districts in KwaZulu-Natal, and further scoping will occur across the existing partner base in the other provinces. The opportunity to scale up and implement the program across many of the current 40 partners within the three provinces will be considered, where feasible and relevant, during the life of the five year program.

As outlined in the situation analysis, the geographic and sector focus for the program was determined in response to the identification of pressing needs for WASH infrastructure, services and hygiene and health promotion in a number of areas in South Africa and Zambia. In the South African context partner reports of the WASH related issues suggested that the adaptation, expansion and integration of WASH related work across Oxfam's current programs in South Africa would assist in addressing systemic challenges to the effective implementation of Oxfam's current programs focussed on livelihoods, food security, child social protection, gender and HIV and AIDS.

Influencing, partnership and capacity building efforts will also be implemented at the provincial, national and/or regional level if determined to be strategic through ongoing participatory and evidence-based power analysis. In addition, policy dialogue and community engagement activities (relating to AACES Objectives 2 and 3) will mostly be carried out in Africa and Australia. The relationship of these activities to Oxfam's AACES program objectives, AusAID's focus areas for its programs in Africa and the activities of other AACES funded ANGOs is demonstrated in Annex 1. All activities will contribute to, and be supported by, Oxfam International's (OI) work on relevant global issues, including facilitating the participation of Oxfam affiliate staff in OI campaign and thematic planning groups.

Learning and analysis gathered through documentation of a range of program strategies, technical innovation, political and contextual analysis will be shared within the Oxfam confederation, with ANGOs, AusAID and – on agreement with AACES partners - shared with the Australian public through joint ANGO activities contributing to AACES Objective 3. It may also be used to inform and influence actors outside of the Australian aid program including governments, the private sector, donors, regional and multilateral institutions. This work will be conducted in a number of ways by staff supporting the AACES program in South Africa, Zambia, Australia and Great Britain, and – if deemed strategic - by members of the Oxfam confederation, partners and allies (including other interested ANGOs) working to influence global and regional processes and institutions such as the African Union (AU), G20, UNFCCC and International Finance Institutions (IFIs). By working with local partner organisations and communities in the delivery of the

program, Oxfam also seeks to support the capacities of individuals and organisations to influence change in their own contexts independently of Oxfam and the Australian aid program.

Through its ongoing presence in both countries Oxfam has developed strong networks of partners and allies within communities, civil society and government. AACES thereby provides an opportunity to sustain engagement in these regions and to strengthen these relationships, alliances and capabilities.

Target Beneficiaries, Gender & Vulnerability

The target beneficiary group in South Africa will be the existing target beneficiaries being serviced through Oxfam's current three programs (Oxfam's HIV and AIDs Program, Food Security program and Child Social Protection program). The target beneficiaries in all these programs are the most disadvantaged and marginalised with a particular focus on women and children who are either infected or affected by the HIV and AIDS. The majority of these women and children are living in the rural or peri-urban areas of Kwa Zulu Natal, Eastern Cape and the Limpopo. People with a disability will also be focused on as a new target group. Support for people living with a disability will be considered on an individual and community by community basis.

The target beneficiaries within Zambia will focus on vulnerable groups including women, children, elderly, people living with HIV/AIDS, and more generally, those living in poverty. People with a disability will also be focused on as a new target group. Support for people living with a disability will be considered on an individual and community by community basis.

Learning from the Zambia WSI program, and from extensive gender work that has been undertaken in South Africa within the current programs, will be shared across countries to inform the Oxfam AACES program. The program will up-skill women and other vulnerable groups in leadership, WASH knowledge and technical skills and will create opportunities for them to get involved in consultative processes and be members of community WASH forums. It will work with men to generate support and opportunities for women's leadership. At the same time Oxfam will ensure that women and other vulnerable groups have the confidence and leadership skills required to participate in decision making at all levels; to be able to defend their WASH rights at the community level and represent and advocate for their communities' WASH rights at the local and national government levels. Oxfam will work with both women and men on these issues so that the gender outcomes can lead to strategic changes in terms of the change in power relationships and increased access to resources by women and other vulnerable groups.

Documenting and Sharing Learning

Objective 5 of the Oxfam program provides for the documenting and sharing of learning to inform policy, public engagement and program development and growth. The WSI program has also recognised the importance of ensuring space is provided for people to exchange ideas and information, and to reflect, learn and adapt through the life of the program. Oxfam has considerable experience in managing programs that adopt these approaches, developing mechanisms that enable partners and the community to learn from the program, to engage in joint learning, analysis and planning and subsequently contribute to the ongoing strategic direction of the program. These mechanisms include:

- Annual Reflections provide opportunities for Oxfam and partner staff, allies, technical and thematic specialists, donors and other stakeholders to engage in joint learning and strategic thinking emerging from the program and in other contexts.
- Specific areas of partner work will be identified with a view to documenting learning through case studies, detailing best practise in relation to WASH, gender and/or people living with disabilities. Partners will be encouraged to document processes and promising practices internally and to share these through the program using a variety of innovative methods.
- Communities of Practice which are ongoing forums that focus on thematic areas of interest identified by partners. Members are able to discuss particular issues of relevance to their work, and to engage in joint learning, planning and influencing. The groups provide a forum for partners to form coalitions and alliances around agreed priority issues.

- Research into emerging issues being experienced by partners and communities in order to bring broader knowledge and learning in to the program.

Partnerships

Central to Oxfam's approach to supporting locally driven community development, the AACES program will be implemented through supporting local partner organisations. Oxfam's partnership principles include capacity building and a shared commitment to flexibility to ensure ownership and sustainable outcomes. Oxfam partners are autonomous, independent, accountable organisations that share Oxfam's core values and beliefs and work towards common goals on a long term basis. Oxfam identified partners have been selected for their strong commitment to community engagement and ownership principles and their grounding focus at community level. In line with the capacity building objectives of the program, implementation will be shared between the various stakeholders, and as local capacity is increased, management and oversight of the program will be transitioned to local communities to ensure ongoing sustainability. Details of specific partnerships are noted within Annex 2.

Major activities

The overall goal of the Oxfam program is to **improve the health and quality of life of the poor and vulnerable in targeted areas of Zambia and South Africa**. The framework for the Oxfam program is defined by five objectives covering all three AACES objectives and covering the four spheres noted within the theory of change. AACES objective 2 + 3 (noted below) are respectively covered within the Oxfam Objectives 4 + 5 with policy engagement with AusAID occurring alongside broader policy engagement to ensure improved WASH governance and effectiveness. Australian community engagement will occur around issues and successes being experienced within the program and will therefore form part of the Oxfam Objective 5. How the AACES and Oxfam Objectives relate can also be seen in Annex 1.

AACES Objective 1: Marginalised people have sustainable access to the services they require

Oxfam Objective One: Increased access to, and the effective use of, improved integrated and sustainable water supplies, and sanitation and hygiene (WASH) services.

To achieve this objective, the following key activities will be undertaken in both South Africa and Zambia:

- Increasing the number of functioning, gender sensitive, quality WASH facilities in the targeted areas through the construction of toilets, other sanitation facilities and hand washing facilities;
- Increasing access to sufficient clean water using appropriate mechanisms including the establishment / rehabilitation of water points, rainwater harvesting systems, bore holes and small catchment dams;
- Establishing locally appropriate water purification and collection technologies;
- Identifying / developing contextually appropriate hygiene and sanitation training materials and approaches;
- Conducting hygiene promotion using relevant and contextually appropriate methodologies/ approaches.

In Zambia, the NRWSSP Sustainable Operation and Maintenance Approach (SOMAP) will be implemented in target communities supported by the participatory development of annual plans for community WASH facilities. Wherever possible the approach will include and promote collaboration and cooperation with local government to ensure effective delivery of services.

In South Africa, initial WASH activities will be mainstreamed into existing Oxfam program areas which cover HIV and AIDS, food security and child protection. The installation of appropriate sanitation facilities will initially focus on crèches through Save the Children. Additional work under this objective will include the research to better understand the linkages between WASH and vulnerability to, and management of HIV infections in communities.

Oxfam Objective Two: Reduced WASH-related inequalities in the delivery of services to women, and vulnerable groups in the target areas.

This will primarily be done by enhancing participation and decision making of women and other vulnerable groups. To achieve this objective, the following key activities will be undertaken in both South Africa and Zambia:

- Providing specific training for women to increase knowledge and promote leadership and management in the delivery of WASH programs;
- Training and supporting women to develop and use WASH related technical skills;
- Increasing the social acceptance of women's leadership in WASH programs through sensitisation and awareness raising processes with power holders;
- Promoting the establishment of gender sensitive community project management structures;
- Partners will engage with People with Disability (PWD) NGOs in an attempt to identify key disability issues in target areas and to illicit technical assistance in designing WASH interventions that meet the needs of PWD. Where possible partners will also consult with PWD to identify their specific needs.
- Partners will disaggregate their baseline data to identify the disabled groups so that their needs are catered for in the provision of WASH facilities.

Partners will be trained on gender, child protection and development inclusiveness issues, providing them with the necessary skills to engage with all their beneficiaries to determine needs in relation to gender, children and people living with disabilities and to design appropriate interventions and programs. Oxfam will develop guidelines for ensuring equitable representation in decision making for women and other vulnerable groups in the program areas. In addition, monitoring work conducted during the program life cycle will have specific gender and equity measures. It is anticipated that through supporting women's visible participation in all aspects of the WASH program, from design to implementation, that more gender sensitive and inclusive facilities, systems and processes will be developed.

In South Africa, additional specific HIV and AIDS related interventions will be identified and prioritised. Areas of exploration are likely to include: developing a better understanding of impacts of poor water quality, unsafe sanitation and hygiene practices on people living with HIV and AIDS; access to clean water and the effect on prevention of mother to child transmission programs, especially breastfeeding promotion; access to clean water and the effect on anti retroviral treatment adherence, efficacy and health generally; and the impacts of access to water for food security and nutrition with a focus on the most vulnerable households e.g. headed by children.

Oxfam Objective Three: Strengthened capacity of stakeholders to manage and implement WASH programs on a sustainable basis.

The following key activities will be undertaken by both South Africa and Zambia:

- Developing and implementing a capacity building program for all stakeholders, including the training in operations and management, construction, resource mobilisation and general management, with emphasis on providing opportunities to women and people with a disability;
- Supporting the establishment and training of community led WASH management structures;
- Supporting the monitoring of implementation of WASH-related laws and regulations by local authorities;
- Support communities to increase their capacity to hold duty bearers to account;
- Supporting community participation in local WASH management forums;
- Exchange trips will be arranged between partners and across countries for learning purposes;
- Partners will be encouraged to join WASH forums and attend WASH conferences where they can network and learn about best practise.

In the Zambian context the program will focus on improving functionality and coordination of the existing program WASH structures, strengthening the linkages and operations of community level structures and formalising the relationships between district institutions and community structures. In the South African context, where such WASH structures do not yet exist, their establishment will be supported.

Oxfam Objective Four: Improved WASH governance and effectiveness.

This will largely be achieved by building citizens' capacity to make decisions about the program and developing their skills to more actively hold duty bearers to account. Due to the differing evolution of the program within the two countries, and to the differing roles Oxfam will take in relation to the government, there are some approaches and key activities that will differ under this objective. Key activities across both countries will include:

- Holding consultative meetings and feedback sessions with all stakeholders (including beneficiaries) when designing annual plans;
- Promoting the establishment of formalised accountability relationships with all stakeholders, including the establishment and/or maintenance of WASH forums;
- Encouraging and supporting community participation in national and international advocacy and campaigns e.g. Global Hand Washing Day; and
- Encouraging and supporting national, regional and international linkages around WASH issues of common interest.

Issues that arise from program learning will be fed back into policy dialogue discussions so that learning can influence WASH policy. Learning that has wider implications than the local will be fed into regional WASH forums, and/or into Oxfam International and AusAID programs and policies and are noted below under AACES Objective 2.

Zambia will specifically focus on:

- Facilitating improved coordination amongst duty bearers and the community;
- Enhancing participation of the poor and vulnerable in decision making;
- Increasing transparency and accountability in the delivery and management of WASH services; and
- Increasing the capacity of government bodies to engage communities to ensure the provision of appropriate services.

South Africa will specifically focus on:

- Facilitating the active involvement of the community in the WASH sector;
- Supporting partner assessment and monitoring of the provision of services by government; and
- Supporting community advocacy and engagement with government to hold duty bearers to account.

The focus on engagement with government will come primarily through advocacy and supporting the community based organisations to hold the various government bodies and duty bearers to account. Historically Oxfam in South Africa has not taken a direct role in building the capacity of government bodies, and at present this is not planned within the AACES program. However, it is recognised that this is a critical element in ensuring sustainable delivery of WASH and that this role may emerge through the life of the AACES program. Learning will be taken from Zambia, and other programs in South Africa, to inform and support this approach if it is deemed appropriate.

Oxfam Objective Five: Documenting and sharing learning that informs policy, public engagement and program development and growth.

Activities under this objective will be focused on documenting and sharing learning from the program which will, first and foremost, inform the development and growth of the program. However, these will also provide an evidence base for policy dialogue and engagement with the Australian community. As such, elements of this Oxfam objective will also inform the AACES Objectives 2 & 3. Activities within the monitoring, evaluation and learning framework for the program will also play a key role in informing this objective. Key activities for the program include:

- Conducting baseline studies in both countries and developing annual plans based on evidence from partner engagements and other sources;
- Managing a research agenda responding to specific issues emerging from the program;
- Documenting and sharing good program practice and success stories emerging from the program;
- Participating in national and regional WASH forums with the express purpose of sharing knowledge and experiences emerging from the program;

- Cross program learning and experiences between South Africa and Zambia and the other AACES ANGOs will be captured and shared through various forms;
- Oxfam will facilitate cross learning and linking between stakeholders in country and from both countries;
- Case studies will be documented and shared amongst partners.

AACES objective 2 + 3 (noted below) are respectively covered within the Oxfam Objectives 4 + 5 with policy engagement with AusAID occurring alongside broader policy engagement to ensure improved WASH governance and effectiveness. Australian community engagement will occur around issues and successes being experienced within the program and will therefore form part of the Oxfam Objective 5. How the AACES and Oxfam Objectives relate can also be seen in Annex 1.

AACES Objective Two: AusAID policy and programs in Africa are strengthened particularly in their ability to target and serve the needs of poor and vulnerable people.

Oxfam Objective Four: Improved WASH governance and effectiveness.

Policy engagement with AusAID, and more broadly, will occur under the Oxfam Objective 4 and will fall under three groupings indicated below and within the attached model within Annex 1.

- A. in Australia, regional or international policy dialogue relating directly to issues arising from our programs in Zambia and South Africa;
- B. in Australia, regional or international policy dialogue on issues broader than the Oxfam AACES program, of priority to Oxfam and relevant to the focus areas of the Australian aid program in Africa²⁶, including the emerging “mining for development” discussion;
- C. in Australia, regional or international policy engagement on issues arising from, or of relevance to, the programs of Oxfam and one or more other ANGO working in Africa.

Initial activities under group A will include ongoing engagement with the Water Reference Group in Australia and links to other regional and international WASH forums and networks such as the South African Water Research Commission (WRC) and Water Information Network (WIN). Within the first year, a research piece will be considered to document and interrogate the implementation of CLTS in Southern African contexts. This will ideally be done in conjunction with other relevant ANGO programs in the region, and will be used to inform debate within the sector and amongst AusAID and other donors. In future years, Oxfam will also conduct research to explore the relationship between climate change and people’s ability to access water for small scale agriculture, sanitation, hygiene, and health in Southern Africa. Given the high prevalence of HIV in the region, this research will explore, in particular, the effects of climate change on the vulnerability of communities and individuals to the impacts of HIV. This work will present opportunities to engage, not only the HIV and Climate Change ACFID workings groups in Australia, but also the relevant sectors within AusAID.

Initial key areas for policy dialogue within group B are:

- Research relevant to the Oxfam campaign focussing on issues related to food security. In the Southern African context this is likely to include research into the ownership of and control over land and water, the impacts of climate change, local adaptation strategies and building the resilience of small scale food producers. Opportunities will be sought to engage with other AACES ANGO programs where relevant. Information will be used to inform discussions within Oxfam, with the Australian development sector, AusAID and global institutions.
- Support for partners to build the capacity of communities to engage with governments, corporations and other power bearers on issues relating to private sector activities. This will complement and inform Oxfam’s continuing engagement with the emergent “mining for development” discussions in Australia. Possible activities could include further research and consultation with the communities with whom Oxfam works about good mining governance as well as the social and environmental impacts of mining

²⁶ Maternal and child health, food security & WASH

with a view to ensuring community voices are represented in future proposed multi-stakeholder discussions involving AusAID and ANGOs.

AACES Objective Three: Increased opportunity for the Australian public to be informed about development issues in Africa.

Oxfam Objective Five: Documenting and sharing learning that informs policy, public engagement and program development and growth.

Australian community engagement will occur under the Oxfam Objective 5. Oxfam will seek opportunities to utilise existing Oxfam community engagement mechanisms, however will prioritise the use of AACES funding for collective activities with AusAID, other AACES ANGOs and the broader NGO and diaspora community in Australia to highlight and discuss key development issues arising from, and relevant to, the program. Oxfam is keen to investigate potential areas for collaboration with a particular focus on:

- Engaging “foodie” networks and forums and raising key food security issues;
- Supporting the upscale of existing education activities in Australia and identifying opportunities for collective development education through existing ANGO education networks;
- Working with AusAID and the other interested AACES ANGO’s to create spaces and opportunities for African diaspora community organisations in Australia (and African-Australian run NGOs) to become further involved in policy dialogue on issues relevant to their country and continent of origin and in the implementation of development programs in Africa.

In the first year particular focus needs to be made across the AACES ANGOs and AusAID for the establishment of:

- A clear strategy for what is meant by community engagement within AACES, and how this aligns to other AusAID funded ANGO programs such as ANCP and other regional cooperation agreements, to provide clear direction for the five year program;
- Clear communication and branding protocols to be established and agreed across all AACES ANGOs and AusAID;
- Initial story collection through the program and as part of the broader MEL framework which can be used for possible community engagement opportunities further in to the program;
- The bringing together of ideas across the AACES ANGOs and AusAID to identify and prioritise areas for collective community engagement; and more specifically
- The potential mapping of existing opportunities for development education across the AACES ANGO networks and where we could work collectively to promote the AACES program.

Monitoring and evaluation

Based on the principles of participation and flexibility, this program will employ a participatory approach aimed at ensuring that key stakeholders (particularly partners and beneficiary communities) are actively and meaningfully engaged in planning, implementation, monitoring and evaluation. The program’s monitoring, evaluation and learning (MEL) framework (Annex 3) has been designed to build the capacity of communities through reflective learning from the program and to promote active participation in decision making. The framework will monitor the various elements of the program, across the program objectives and in line with the theory of change will attempt to measure the impact on the four key spheres of: beliefs, awareness, knowledge and capacity; access; exclusionary practices; and institutions and policies.

The Oxfam AACES MEL Framework has been developed based on learning from the implementation of the AusAID funding WSI program and performance framework, which similarly highlights some key WASH indicators and places a greater focus on key performance questions. The Oxfam AACES MEL Framework has been developed with this in mind, highlighting some key WASH indicators and with a greater focus on key performance questions to help identify program impact. The Oxfam AACES program will work with an array of partners throughout the five years and considerable effort will be made to support partners to report against the Oxfam AACES MEL Framework, as well as to inform and modify this if required.

The MEL framework is specifically designed to assess the level and impact of representation of women and other vulnerable groups in decision making and leadership. Particular attention has been given to their participation, both as participants and decision makers, in monitoring and assessing program performance. The program will employ inclusive, participatory processes that take differential barriers into account - such as disability, gender, literacy and language; and recognise the differential impact of the local/individual socio-economic contexts on WASH. In addition, program outcomes and outputs will be assessed through indicators that are inclusive and sensitive to the needs of marginalised groups. This includes the disaggregation of data by sex and other demographics.

Clear feedback mechanisms on program progress will be established using methodologies such as focus groups and stakeholder meetings. Other means of soliciting feedback will include semi-structured interviews with target beneficiaries and the establishment of community managed help desks which have been used as an effective community based feedback channel in Zambia. The MEL framework is purposefully flexible - to allow for informal feedback from communities, which will be complemented by formal evaluatory processes to receive and respond to feedback from key stakeholders.

Information gathered through the MEL framework will be fed back to program stakeholders through various means including program assessment and information sharing meetings and the production and dissemination of brief reports. The MEL framework will engage other feedback mechanisms identified by partners as the most appropriate, and will include community meetings, participatory videos, narrative storytelling, photo stories, and radio soap operas. These mechanisms have been identified by communities engaged in the initial consultation process as effective communication channels, and are currently used by partners within their MEL systems to ensure accountability to their stakeholders (e.g. beneficiary communities and donors).

As highlighted in the MEL Framework, the program will engage in partner interviews at key stages of the program, including pilot, mid-term and end of program phases. These interviews will be used to identify opportunities for MEL capacity building which will be addressed with individual partners as required, and during annual reflections and learning events. Learning events are aimed at reflecting on program achievements and challenges, and consultatively developing ways to improve chosen strategies and operational methods. A recent Oxfam Australia MEL review of current partners highlighted the need to strengthen partner capacity to use evaluation findings in future planning, as well as developing and implementing strategies to identify the impact of programs on gender equality. These areas, along with any other areas highlighted through partner interviews, will be addressed through learning platforms. In the past, Oxfam and its partners have used annual reflections as an opportunity to strengthen capacity in using MEL as an accountability mechanism and identify new ways of engaging partners and communities in the monitoring and evaluation of our work. Participants in the learning events will also reflect on collective performance, identify challenges and gaps in programming and propose changes based on emerging learning.

During the first year MEL work will focus on facilitating the establishment of a learning environment within which program managers and stakeholders can collectively determine how the program will move forward. Learning from the first year of implementation will shape the direction of the program for the next four years and is expected to further define how South Africa and Zambia relate in the context of the program, as well as further define the overarching program.

Risks

The threats to the successful implementation and completion of the program have been assessed in respect of both countries, and are clearly listed in the risk register (Annex 4) which includes:

- **Program Structure:** Whilst it is recognised that the utilization of two distinctly different approaches to implementing WASH within the two countries is challenging, this also provides opportunity for some considerable learning within the program. This will be monitored within Objective 5 of the Oxfam

program and also throughout the MEL framework. Ongoing discussions will occur with AusAID and the other AACES NGOs to also share learning.

- **Program Management:** The leadership and management of the program which crosses two countries, two Oxfam affiliates and many partner organisations will prove challenging. However, existing systems, processes and relationships are in place to support this and ongoing communication and dialogue will occur to ensure consistent and smooth management of the program. The retention and recruitment of qualified WASH staff within the two Oxfam affiliates has recently experienced some issues and delays, however this is being closely monitored and it is anticipated that all necessary staff will be on board soon.
- **Poor Implementation:** Risks include poor or inappropriate design of WASH services due to the lack of consultation with beneficiaries, insufficient training and lack of resources to maintain WASH infrastructure. Extensive actions will be taken throughout the program to ensure appropriate community engagement, appropriate technology and facilities are constructed and to attempt to address longer term sustainability issues.
- **Financial management:** Aligning the financial reporting across two Oxfam affiliates and many partners is complex and requires ongoing support and monitoring. Exchange rate fluctuations can also prove challenging. Existing systems and processes are in place for the effective financial management of the program and particular support and attention will be made to the various financial reporting systems and exchange rates.
- **Variations in partners' capacity:** Some Oxfam partners might experience difficulty in meeting all AusAID's policy requirements (eg child protection policies) and also in implementing elements of WASH. Ongoing support will be provided by Oxfam to ensure partners receive the assistance needed to successfully implement the program.
- **Uncertain political contexts:** Elections in both countries could raise the possibility of interference in program activities, and government bodies might not collaborate as planned. Government departments may also fail to engage in the program and meet their service delivery obligations. Close monitoring will occur through regular and standard security updates which will include the sharing of information with UN agencies and other NGOs.
- **Logistical limitations:** Some areas where the program will operate are remote from urban centres and services and access is difficult. Impact of disasters (floods and drought) and environmental damage, including the effects of climate change, may impact on the communities ability to engage with WASH programs. The program will seek to address these issues throughout the implementation by the provision of appropriate technology and training.

Sustainability Strategy

The theory of change, above, notes that the impact and sustainability of this program is contingent on its contribution to the capacity of women and men to claim their rights, respond to external trends and shocks, influence those with power and to hold duty-bearers to account. The framework provides a model of four spheres in which change needs to occur in order to achieve this transformation. These spheres have been addressed within the five objectives of the Oxfam program and are represented by the need to see improvements in: beliefs, awareness, knowledge and capacity; access to WASH Services; reduced inequalities for access to WASH; and WASH governance and effectiveness.

In this regard, Oxfam and its partners in both Zambia and South Africa will raise awareness of WASH issues and their rights, and develop capacity building plans to build technical, management and advocacy knowledge and skills. Furthermore, operation and maintenance, resource mobilisation as well as monitoring, evaluation and learning systems will be strengthened to ensure proper construction and that the WASH improvements and facilities are used effectively. In addition, participatory and rights based approaches and processes will be implemented, not only to ensure effective community participation in decision making, but also to ensure affordable and appropriate technologies and approaches are used within the program and to create individual agency and community effectiveness in generating, developing and maintaining WASH programs and their benefits. In particular, an advocacy capacity building approach will be taken in order for communities to influence decision makers, call for an extension of services to

underserved and un-served areas, influence public policy and resource allocation and create a space for negotiation between communities and authorities. The program will also focus on interventions and processes to ensure gender equality and inclusion of vulnerable groups in order to bring to bear full community potential in the planning, resourcing, implementing and maintaining WASH services.

Sustainability will also be supported by strong and well functioning structures and institutions at various levels. The program, will therefore, concentrate on establishing / strengthening and coordinating community structures, as well as providing technical and financial support to NGO and government partners to enable them to perform their WASH functions more effectively. This, also means, the institutional linkages between the community and government structures will be strengthened to create a platform for the communities to influence the duty bearers at all levels to play their key role in sustaining WASH services at community levels. In summary, sustainability, in this program, will inhere in knowledgeable, skilled and confident individuals and communities; quality WASH facilities and services; adequate WASH systems and processes; and strong well coordinated community structures and duty bearers.

Partnership is a core strategy of Oxfam. The program will therefore vest responsibility and leadership for planning, implementing and monitoring WASH interventions in partner institutions and community structures. Furthermore, Oxfam will encourage partners to leverage its support to expand WASH interventions using their own resources and will progressively enable partners to take over and sustain WASH benefits. In this manner, Oxfam will embed its sustainability strategy throughout the life of the program.

AusAID Policy Requirements

Child Protection: Oxfam Australia's Child Protection Policy and Code of Conduct complies with AusAID standards. It is currently undergoing review; training has been conducted and tools developed to support the socialisation of the policy. Greater support is needed to ensure it is rolled out to field offices, as well as support for understanding the minimum standards when engaging partners. A plan and toolkit has been developed for this which will be a key focus for 2011. A challenge to address is the ability to obtain criminal record checks in some areas. Oxfam will ensure that that organisations use multiple methods to ensure a child safe environment (codes of conducts, statutory declarations, reference checks, etc). Oxfam will also include a child related risks within the risk register. Although Oxfam Great Britain also has a Child Protection Policy, some work is needed in 2011 to ensure that it complies with AusAID standards and that the staff within the Zambia team are sufficiently aware of the AusAID requirements.

Environment: The AusAID environment and climate change strategy does not specify any requirements for Australian NGOs, but a number of program activities are in line with the strategy and have the potential to inform AusAID, as well as ensuring effective management of environmental and climate risks. Environmental assessments will be implemented before any WASH related construction. Oxfam will work with partners to ensure that environmental assessments are conducted as standard practice. Water resource management will be a fundamental part of the program to support communities with water usage and recycling.

Inclusive Development: In Zambia and South Africa HIV prevalence is high and the needs and inclusion of people living with HIV will form an integral part of the program. In South Africa a project will be piloted in the first year specifically looking at intersections between HIV and WASH. Disability inclusiveness is not an area that has played a strong role within the Oxfam programs in South Africa or Zambia to date. This program will identify areas where practice can be improved. WASH standards related to people with a disability (PWD) exist and will be applied as part of this program. Oxfam will network with disability organisations on definitions of disability so that disability data can be clearly aggregated, and work on strategies which ensure the involvement of PWDs in the design and implementation of WASH programs. Oxfam will network with WaterAid to learn from their procedures and also seek assistance from

consultants with specialist knowledge of the disabilities sector. The MEL framework will reflect the above and will include case studies which highlight the specific needs of disabled beneficiaries.

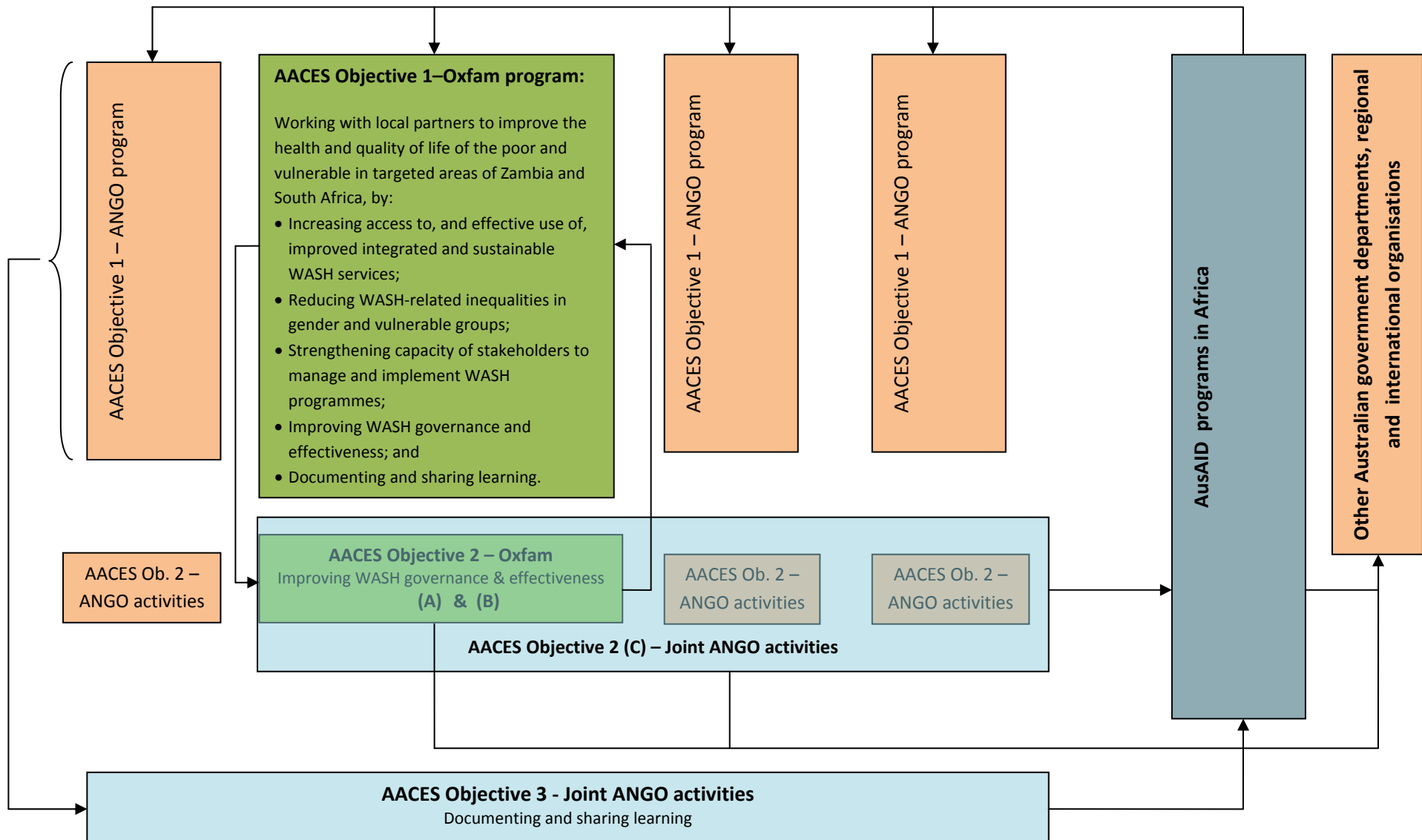
Resources

Specific resources for this program have been identified within the relationship chart contained in Annex 2. Management of the overall program will be based in the Oxfam Australia South Africa office, with close links to Oxfam Great Britain staff in Zambia. Additional support will be provided by Oxfam Australia Melbourne office with a particular focus on Quality & Impact, MEL, Contract / Grant Management including reporting, WASH and Policy and Community Engagement. Where relevant some costs for these areas of support have been included within the program budget. The proposed 5 year budget is included within Annex 6 with the Year one Annual Plan and budget contained within Annex 5.

Annexes

- 1. Objectives Representation Model**
- 2. Partner Relationship Chart & Information**
- 3. Monitoring, Evaluation and Learning Framework**
- 4. Risk Register**
- 5. Annual Plan and Budget – June 2011 to June 2012**
- 6. Budget (June 2011 to June 2016)**

Annex 1: Objective Representation Model¹



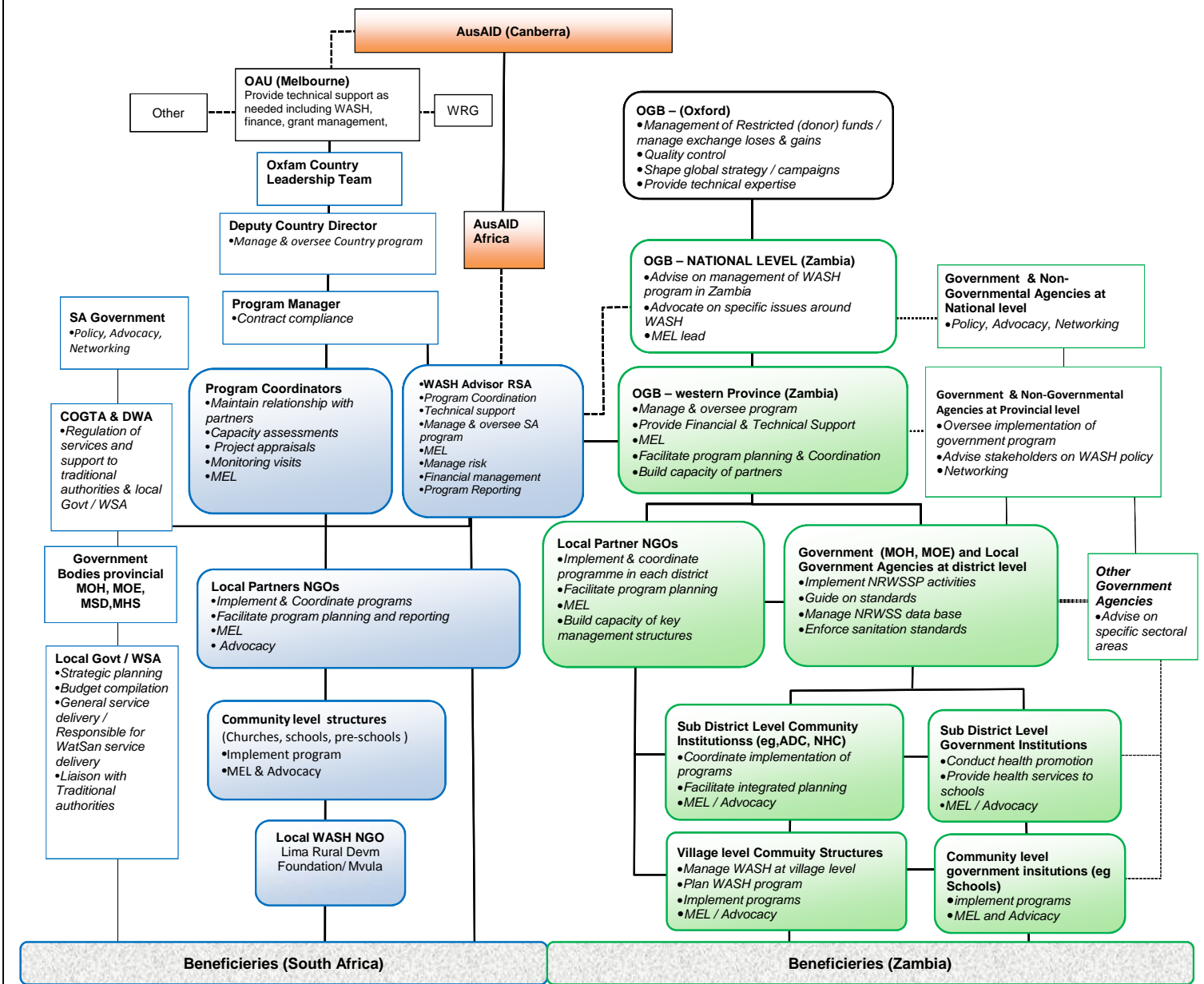
¹ **Objective 2 grouping:**

A. refers to in Australia, regional or international policy dialogue relating directly to issues arising from our programs in Zambia and South Africa;

B. refers to in Australia, regional or international policy dialogue on issues broader than the Oxfam AACES program, of priority to Oxfam and relevant to the focus areas of the Australian aid program in Africa¹, including the emerging “mining for development” discussion;

C. refers to in Australia, regional or international policy engagement on issues arising from, or of relevance to, the programs of Oxfam and one or more other ANGO working in Africa.

AACES RELATIONSHIP CHART - OXFAM WASH PROGRAM



KEY:

- Zambia Structure
- AusAid Connections
- South Africa Structure

- Strong collaborative / functional / intra-programme advocacy lines
- Important functional / administrative / advocacy lines outside AACES programme
- Guidance, advisory support lines
- WRG: Water Reference Group

ABBREVIATIONS:

- RSA: Republic of South Africa
- DWA: Department of Water Affairs
- ADC: Area Development Committee
- WASH: Water, Sanitation and Hygiene / Health
- WATSAN: Water and Sanitation
- OGB: Oxfam Great Britain

- MOE: Ministry of Education
- MOH: Ministry of Health
- NHC: Neighbourhood Health Committees:
- NRWSSP: National Rural Water Supply & Sanitation Programme
- COGTA: Department of Cooperative Governance and Traditional Affairs
- WSA: Water Services Authority
- OAU: Oxfam Australia

Oxfam AACES Partnerships

Central to Oxfam's approach to supporting locally driven community development, the AACES program will be implemented through supporting local partner organisations. Oxfam's partnership principles include capacity building and a shared commitment to flexibility to ensure ownership and sustainable outcomes. Oxfam partners are autonomous, independent, accountable organisations that share Oxfam's core values and beliefs and work towards common goals on a long term basis. Oxfam identified partners have been selected for their strong commitment to community engagement and ownership principles and their grounding focus at community level. In line with the capacity building objectives of the program, implementation will be shared between the various stakeholders, and as local capacity is increased, management and oversight of the program will be transitioned to local communities to ensure ongoing sustainability. Details of specific partnerships are noted below and also included within Annex 2.

Zambia

Oxfam has operated in Zambia since January 1980, responding to natural disasters and supporting targeted longer-term development programs that work in partnership with government and civil society from the local to national level. Oxfam has worked in Western Province since 2003, with Mongu, the provincial capital, as a base. During this time Oxfam has built a strong relationship and high level of trust with the provincial and district governments. Oxfam has over three years of experience implementing WASH programming in the province, and more than six years experience working closely with Keepers Zambia Foundation in Kaoma District and People Participation Services in Mongu district in the fields of WASH, humanitarian and livelihood activities.

- Keepers Zambia Foundation's (KZF) mission is to improve the livelihoods of disadvantaged peri-urban and rural communities through sustainable utilisation of natural resources. They will play a quality control role in terms of the hardware aspects of the program (latrine construction, borehole and well digging), and through the support of Oxfam will increasingly assume a management role of the WASH program in Kaoma District. The organisation will also play a key role in community mobilisation and training and in district and national level advocacy on WASH issues.
- People Participation Services (PPS) aims to "promote and advance the empowerment of rural disadvantaged people, especially women in western Province through livelihood improvement and income generation activities". Currently PPS facilitates the implementation of public health programs. Through the support of Oxfam, PPS will increasingly assume the lead role in managing WASH programs in Mongu districts.

Oxfam also has a long relationship with the District Councils and government ministries of health and education in Kaoma and Mongu districts. Current and previous programs have also been implemented in close liaison with the District Water, Sanitation and Hygiene Education (D-WASHE) committees, Area Development Committees (ADCS), Neighbourhood Health Committees (NHC), Parents Teachers Associations (PTAs), Village Water, Sanitation and Hygiene Education (V-WASHE) Committees and other sub district and community based structures. At provincial level, Oxfam has worked with the Provincial Support Team under the Ministry of Local Government and Housing to oversee the implementation of the NRWSSP. Hitherto the partnerships have been of a critical and strategic nature, whereby the government and local government agencies have provided technical and other expertise to implement the program effectively. They have also provided not only an institutional base but also a degree of program legitimacy through their formal mandates for different aspects of WASH.

Over the past few months Oxfam has embarked on a process towards more strategic relationships; it is in the process of broadening and deepening its partnerships with CSOs, Government and Local Government Agencies to increase their responsibilities especially in planning, management,

monitoring and evaluation and building capacity of lower level (including community) structures. Oxfam will increasingly assume oversight roles; deepen monitoring, evaluation and learning; enrich its critical and analytical thinking roles; strengthen capacity building of partners; and deepen its advocacy roles to leverage the program for more resources and to gain greater impact from project interventions.

Under the AACES programme, Oxfam will not only continue deepening and broadening its strategic partnerships but also facilitate the creation and strengthening of meaningful partnerships between duty bearers, implementers and community structures. Considering the increased emphasis on enhancing the participation of communities in decision making; capacity building; advocacy and participatory planning and coordination, Oxfam will seek out additional relationships with the Provincial Planning Unit under the Office of the Provincial Permanent Secretary; the District Development Coordinating Committee (DDCC); and with other like minded CSOs. Although having relationships with multiple partners across different operation levels will present a challenge of coordination, it avails the greatest opportunity for the sustainability of program interventions.

South Africa

Oxfam in South Africa will work and support the strengthening of civil society primarily through existing community based organisations. Where needed additional technical support for WASH infrastructure and maintenance, or even organisational support, MEL and reporting, will also be supported and additional partnerships / consultancies established if required. The focus on engagement with government will come primarily through advocacy and supporting the community based organisations to hold the various government bodies and duty bearers to account. Historically Oxfam in South Africa has not taken a direct role in building the capacity of government bodies, and at present this is not planned within the AACES program. However, it is recognised that this is a critical element in ensuring sustainable delivery of WASH and that this role may emerge through the life of the AACES program. Learning will be taken from Zambia, and other programs in South Africa, to inform and support this approach if it is deemed appropriate.

As noted within the situation analysis, a small number of current partners were selected for initial implementation under the AACES program. Throughout the program opportunities for additional partnerships will be explored. The partnerships within South Africa can be divided into two areas: technical partners (service providers) who have specific WASH skills and experience; and community based organisations who have requested WASH support in their programs. The community based organisations which will initially be supported through this program include:

- Operation Upgrade will work directly with community groups in their targeted areas in uMkhanyakude, including working within traditional tribal structures, with adult and young women and men's groups at grassroots level and with local government systems for sustainable improvements in access to safe and sufficient water. The organisation reaches over 1000 adult learners and their families within their area of operation.
- Save the Children KZN works directly with crèche centres and the surrounding communities providing holistic education. Through AACES, support will be provided to developing water harvesting systems and enhance the provision of sanitation and hygiene processes. Overall Save the Children KZN has a presence in 12 areas of KwaZulu-Natal province and reaches at least 390 child care facilities in disadvantaged areas, impacting upon at least 18,000 young children and their families. The initial focus for AACES will be within communities in uGu district.
- Woza Moya provides home based care, child and youth care, food security and paralegal services and works with over 1400 households in the Ofafa Valley of Sisonke District. Initial work with Woza Moya will be to identify specific parasites and other water related diseases that are impacting on the community and potentially impacting on the efficacy of ART. Additionally support will be provided for improved hygiene training and materials for community care

workers. Longer term programming will be considered upon the identification of the key health issues that are being experienced.

Oxfam will work with two key WASH technical partners to support the activities noted above, to support additional water harvesting within other communities within uMkhanyakude district, and to identify opportunities for future programming. Lima Rural Development Foundation will provide technical support to community based partners with a focus on access to water, food security and agriculture. Support will include community mapping of water sources, identification of appropriate water sources / technology for household level, surveys for placement of small catchment dams, and community training in operation and maintenance. Mvula Trust will initially support Save the Children to explore appropriate WASH facilities for local crèches as well as the provision of training for operation and maintenance of the facilities. Further, ongoing engagement with Mvula Trust, will be considered as other areas of implementation are identified, including opportunities for support and engagement with advocacy processes. Additionally, the Centre for Public Participation works to strengthen public participation in governance and advance the achievement of civil, political and socio-economic rights and poverty alleviation. Support will be provided through the AACES program for the food security partners in uMkhanyakude to advocate for the effective delivery of water by the local government.

Annex 3:

Australian Africa Civil Society Engagement Scheme Oxfam Monitoring, Evaluation & Learning Framework

MEL Principles

Monitoring, evaluation and learning activities within AACES will be informed by the following principles and frame the way and its partners monitor, evaluate and learn from the program. The MEL framework will:

- Be **flexible to reflect and adapt to the changing situations** in the program and the contexts in which the program is functioning;
- Be predicated upon both **qualitative and quantitative** measures and will focus on both **process and impact**;
- Assess the degree to which the programme's central proposition and the cross-cutting issues are appropriately addressed;
- Support meaningful **engagement and participation** of stakeholders of the program, with particular emphasis on partners and those they are seeking to benefit;
- Seek **innovative and simple** methods of data collection and only require the collection and analysis of information that is relevant and meets the needs of different stakeholders;
- Assist Oxfam to be **accountable** to all of the program stakeholders, particularly donors, partners and those they seek to benefit;
- Review and track progress against impacts of the program (both **intended and unintended, positive and negative**) and what key processes led to the change;
- Support partners to effect and recognise **change at various levels** - in people lives, at policy level (policy and legislative outputs, budget allocations, changes in implementation and at local, regional and national level);
- Draw from and **build on information that already exists** and is already being collected by Oxfam and other players.

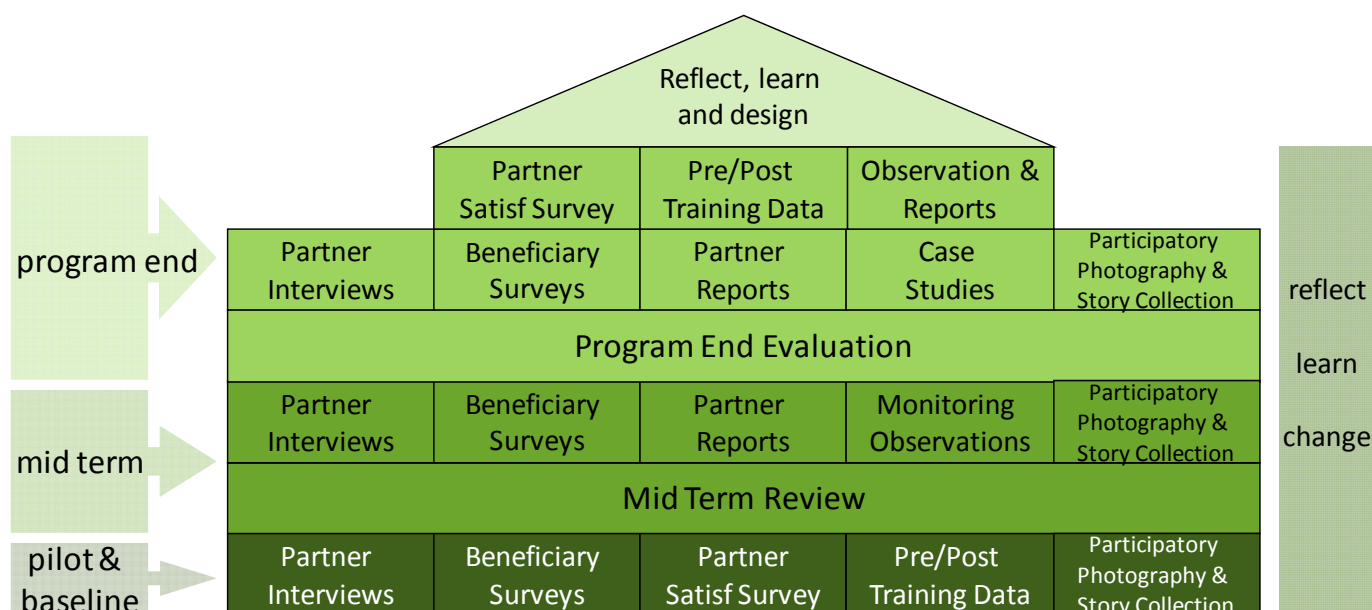
Phasing

The program MEL, along with the broader program, will be phased over the 5 years, with pilot activities occurring in the first year as well as the testing of key indicators for the program and the collection of relevant baseline data. Reflection and learning will form an instrumental part of the program to inform activities and approaches and to ensure an adaptive approach is taken that allows for change to occur as needed. The following phased approach will be adopted throughout the 5 year program as well as when additional activities / communities / partners are engaged within the program. Therefore, baseline data will be collected at the entry point for any new activities.

Reflecting & Learning

Sharing and learning will occur throughout the program and is a part of Objective 5 to ensure that learning is directly informing the future direction of the program. In the first year the programs MEL system will focus on drawing key learnings from the program and specific pilot activities being undertaken. Learning from the first year will shape the direction of the project for the next four years and is expected to further define how South Africa and Zambia relate in the context of the program, as well as further defining the overarching program.

Information collected from the program and the MEL framework will be consolidated and reported back to partner, beneficiaries and other stakeholders in various forms, including the Annual Reflection process, 6 monthly reports, stakeholder meetings and through regular monitoring visits. Information and learning will be shared with AusAID and the other AACES NGO's through regular meetings and forums.



MEL Tools

Tools used within the MEL Framework will be determined by partner organisations, considering their capacity and existing tools and methods currently being used. However, the tools used will include various elements of the following throughout the program: Implementation reports from partners; Oxfam monitoring reports; newspaper reports; public perception; Baseline & other surveys; Monitoring visits; Stakeholder Interviews & meetings; Focus group discussions; WASH participatory assessments; Community WASH Forums documentation; Community WASH Help Desks etc. Where data is available, government reporting will be used, however due to the unreliability of data at the community level in which this program will be operating, the focus will primarily remain with community level reporting and monitoring processes.

MEL will be discussed as part of the capacity assessments conducted by Oxfam and support for the development of tools, implementation and analysis will be provided as required. Partner capacity regarding MEL is an area that Oxfam has spent much time over the years – to support partners to document (using innovative and participatory methods), evaluate and learn from the work that they are undertaking with a view of using the information to adapt and improve on their interventions, and also to ensure that Oxfam is able to report on the impact level of programs with sufficient accuracy and quality. The contracting of consultants for direct hands on support to partners, as was done within APAC, is just one possibility that will be considered if needed.

Key MEL Activities

General program reporting activities deliver a wealth of MEL data as a matter of course. The following steps are in addition to general program reporting and related processes.

Objective 1: Increased access to, and effective use of, improved integrated and sustainable water supplies, sanitation and hygiene (WASH) services.

Activities

- Collation of data and information from beneficiaries, partner reports and other methods as appropriate (partner interviews, beneficiary surveys, partner reports, training data).
- Participatory photography and story collection demonstrating impact of the program.
- Document at least one case study that explores barriers to access to services.
- Other innovative monitoring methods to be tested throughout the program where relevant and appropriate, including video, mobile phones.
- Focus group discussions, stakeholder meetings and beneficiary surveys.

Objective 2: Reduced WASH-related inequalities in gender and vulnerable groups.

Activities

- Collation of data and information from beneficiaries, partner reports and other methods as appropriate (partner interviews, beneficiary surveys, partner reports, training data).
- Participatory photography and story collection demonstrating impact of the program by the beneficiaries and partners.
- Document at least two case studies that explore issues related to gender inequality and other vulnerable groups.
- Other innovative monitoring methods to be tested throughout the program where relevant and appropriate, including video, mobile phones, radio.
- Focus group discussions, stakeholder meetings and beneficiary surveys.

Objective 3: Strengthened capacity of stakeholders to manage and implement WASH programmes on a sustainable basis.

Activities

- Collation of data and information from beneficiaries, partner reports and other methods as appropriate (partner interviews, beneficiary surveys, partner reports, training data).
- Participatory photography and story collection demonstrating impact of the program.
- Document at least one case study that explores increased capacity of communities to hold duty bearers to account.
- Focus group discussions, stakeholder meetings and beneficiary surveys.

Objective 4: Improved WASH governance and effectiveness.

Activities

- Collation of data and information from beneficiaries, partner reports and other methods as appropriate (partner interviews, beneficiary surveys, partner reports, training data).
- Other methods to be used where relevant including external reviews, public perception, government reports, observation, interviews with duty bearers.
- Focus group discussions, stakeholder meetings and beneficiary surveys.

Objective 5: Documentation and shared learning informs policy and public engagement, programme development and growth.

Activities

- Pilot program activities, MEL indicators and methods in year 1 to help inform the broader program.
- Annual reflection, country learning reviews and planning of the program with participants from key partners, AusAID representatives and other AACES NGO representatives: to provide a platform to share innovative partner work; partners across objectives, geographical and country areas; reflection on the partnership and program progress, outcomes and impact; and draw on information gained from monitoring through-out the year.
- Documenting impact of the program through various means, including, review reports, case studies and story collection.
- Research and studies conducted to help inform the program and policy engagement opportunities.
- Production of annual plans and reports that have been informed by the programme, the MEL and relevant research pieces and case studies.
- Mid term review (including peer review) conducted to help inform ongoing and future programming.
- Final evaluation (including peer review) conducted to help inform ongoing and future programming.

Program Management

Activities

- Annual program and project appraisal processes.
- Partner capacity assessments to be conducted at the beginning, mid term and end of the program.
- Monitoring of implementation of key AusAID requirements and policies.
- Monitoring of context to inform programming and risk register.
- Annual partner and project site monitoring visits.
- Annual partner finance monitoring visits.
- Provision of complaint mechanisms for all partners within working agreements and contracts and through regular discussions.
- Survey of partners which focuses on satisfaction with services/processes provided/offered by the Oxfam AACES program.

**Oxfam AACES Program - Monitoring, Evaluation & Learning Framework
Indicators & Data Collection**

AACES Snapshot Report indicator

	Long Term Indicators & Key Performance Questions	Data Source/ Means of Verification (and aggregation) tools for data collection	Who will collect data?	Disaggregated	Collection Frequency (time)	How will data be analysed	Who will analyse data	Analysis Frequency	Who will use data and analysis	Short Term (Year 1) Key Performance Questions
Goal:										
The health and quality of life of the poor and vulnerable in targeted areas of Zambia and RSA is improved.	Has the program contributed to health and quality of life of the poor and vulnerable in targeted areas in Zambia and South Africa? How has the health and quality of life of the poor and vulnerable in targeted areas in Zambia and South Africa improved?	Clinics/hospitals. Schools/crèches (attendance & sick registers). Quality of life to be measured by: access sufficient quality water for consumption, food production and preparation, personal hygiene, care for the sick, washing and waste disposal; reduction in time spent in collecting water.	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)	Male, Female, Children, People with a Disability.	Baseline, Mid term review and final Evaluation.	Qualitative, Aggregation	Zambia: Senior program Manager (SPM), program Manager (PM), Mel Officer. South Africa & overall program: WASH Adviser, program Manager.	Baseline, Mid term review and final Evaluation.	program Leadership Team (PLT), Partners, Annual reporting, Mid Term Review and Final Evaluation.	
Objectives:										
1. Increased access to, and effective use of, improved integrated and sustainable water supplies, sanitation and hygiene (WASH) services.	Number of additional people with access to safe water.	Implementation reports from partners; Oxfam monitoring reports; newspaper reports; public perception; Baseline & other surveys; Monitoring visit reports etc.	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)	Male, Female, Children, People with a Disability.	at project launch and 6 monthly	Aggregation, cumulative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	6 monthly or at completion of construction	PLT, Partners, 6 monthly reporting and government bodies where relevant.	What results and key learnings can be taken from the South Africa pilot activities and how have they informed future programming?
	Number of additional people with access to appropriate sanitation.	Implementation reports from partners; Oxfam monitoring reports, current user surveys	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)	Male, Female, Children, People with a Disability.	at project launch and 6 monthly	Aggregation, cumulative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	6 monthly or at completion of construction	PLT, Partners, 6 monthly reporting, government bodies where relevant.	How has the review of hygiene approaches informed program implementation?
	Number of additional locations with hygiene facilities.	Implementation reports from partners; Oxfam monitoring reports	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)	Male, Female, Children, People with a Disability.	at project launch and 6 monthly	Aggregation, cumulative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	6 monthly or at completion of construction	PLT, Partners, 6 monthly reporting, government bodies where relevant.	How have the experiences of current South Africa partners (approx 40) informed future programming?
	Number of additional crèches/schools with water sanitation and hand washing facilities.	Implementation reports from partners; Oxfam monitoring reports, completion reports, sanitation surveys	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 6 monthly	Aggregation, cumulative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	6 monthly or at completion of construction	PLT, Partners, 6 monthly reporting, government bodies where relevant.	How has program encouraged proper use of WASH facilities?
	How has knowledge around hygiene improved? And has this been demonstrated in improved hygiene practices of participants?	Implementation reports from partners, observation.	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 6 monthly	Qualitative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	6 monthly	PLT, Partners, 6 monthly reporting, government bodies where relevant.	Number of additional people served from implementing NRWSSP / SHN activities in Zambia.
	Number of additional people using improved facilities.	Implementation reports from partners; Oxfam monitoring reports, community inventory	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		12 monthly	Aggregation, cumulative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually or at completion of construction	PLT, Partners, Annual reporting, government bodies where relevant.	
2. Reduced WASH-related inequalities in gender and vulnerable groups.	Number of additional women and vulnerable group-members participating in decision making related to WASH.	Implementation reports from partners; Oxfam monitoring reports, community inventory	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)	Male, Female, Children, People with a Disability.	12 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	How has the program attempted to improve understanding of disability inclusive needs with regards to WASH? What are the results?
	Are women demonstrating increased confidence and leadership skills through participating in decision making and defending their rights at the community level and in their engagement with duty bearers?	Implementation reports from partners, in-depth interviews.	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		12 monthly	Qualitative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, Mid Term Review and Final Evaluation.	
	How has increased access to water and sanitation impacted on the lives of women and girls?	Implementation reports from partners, Oxfam monitoring reports, in-depth interviews, focus groups.	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		12 monthly	Qualitative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, Mid Term Review and Final Evaluation.	How has the program attempted to ensure greater participation of women and vulnerable groups within decision making? Has this been successful? What needs to be improved?
	Number of additional WASH facilities appropriate to target groups (women, girls, children, people with a disability).	Implementation reports from partners; Oxfam monitoring reports; Baseline & other surveys, implementation reports, monitoring reports, beneficiary interviews	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)	Male, Female, Children, People with a Disability.	at project launch and 6 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	6 monthly or at completion of construction	PLT, Partners, 6 monthly reporting, government bodies where relevant.	How has the program addressed women and girls issues in schools?
3. Strengthened capacity of stakeholders to manage and implement WASH programs on a sustainable basis	Are WASH management structures more functional and coordinated?	Implementation reports from partners; Oxfam monitoring reports; newspaper reports; public perception; In-depth interviews, project reviews, health and hygiene group records	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 12 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	How has the capacity of partners to undertake advocacy / policy engagement been assessed? And how will it inform the future program?
	Are facilities operated, maintained and repaired for long term sustainability?	Financial reports and budgets, operational maintenance reports; Implementation reports from partners; Oxfam monitoring reports, beneficiary feedback	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 12 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	Has a capacity building plan been developed which informs future programming?
	Number of additional people trained in elements of WASH.	Attendance lists, and training report, expenditure report, feedback from participants	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)	Male, Female, Children, People with a Disability.	at project launch and 6 monthly	Aggregation, cumulative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	6 monthly or at completion of activities	PLT, Partners, 6 monthly reporting, government bodies where relevant.	Are there clear strategies for implementing SOMAP (Zambia)?

	Long Term Indicators & Key Performance Questions	Data Source/ Means of Verification (and aggregation) tools for data collection	Who will collect data?	Disaggregated	Collection Frequency (time)	How will data be analysed	Who will analyse data	Analysis Frequency	Who will use data and analysis	Short Term (Year 1) Key Performance Questions
	Do stakeholders better recognise and deliver on their roles and responsibilities? Provide examples or information on barriers being experienced.	External reviews; public perception; government reports; Focus groups, periodic surveys; observation	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 12 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	
	Have citizens more actively held duty bearers to account? How? Why not? What has been the result?	External reviews; public perception; government reports; Focus groups, periodic surveys; observation	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 12 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	
	Is there increased community/stakeholders awareness on WASH?	Focus groups; in-depth interviews; observation	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 6 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	6 monthly or at completion of activities	PLT, Partners, 6 monthly reporting, government bodies where relevant.	
4. Improved WASH governance and effectiveness.	How has the capacity of communities and partners been increased to support their role in accountability?	Implementation reports; interviews with community members; focus groups with committees	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 12 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	How has the program facilitated dialogue between duty bearers and communities? Has this been successful? What needs to be improved?
	Do stakeholders better recognise and deliver on their roles and responsibilities? Provide examples or information on barriers being experienced.	External reviews; public perception; government reports; Focus groups, periodic surveys; observation; interviews with duty bearers	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 12 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	What specific capacity building activities have been implemented to enable citizens to hold duty bearers to account? What are the results?
	Have citizens more actively held duty bearers to account? How? Why not? What has been the result?	External reviews; public perception; government reports; Focus groups, periodic surveys; observation; interviews with duty bearers	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 12 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	What opportunities have been identified in the first year to influence policy at the local, national and regional levels?
5. Documentation and shared learning informs policy and public engagement, program development and growth.	How have monitoring processes, opportunities for innovation, cross program learning and experiences informed program development and growth?	program development and growth informed by program review reports, research, case studies etc.	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 6 monthly	Qualitative and qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	6 monthly or at completion of documentation / learnings events	PLT, Partners, 6 monthly reporting, government bodies where relevant.	Has Strength Based Approach training been conducted and trialled? What were the results and how will it inform future programming?
	How, and to whom, has evidence from the program been made available to inform policy? Is there evidence that it has influenced policy?	Evidence of sharing of documentation from the program; Policy engagement recommendations aligned with program reports, research, case studies etc; monitoring of changes to policy / policy implementation; records of meetings with policy makers & sector forums	Partners, community structures, Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		at project launch and 12 monthly	Qualitative, aggregation	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	How has the longer term program plan been informed by pilot activities, trials and research? In particularly focusing on: - South Africa program in relation to HIV, child protection and food security; - Strength based approach; - disability inclusiveness.
			Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		Year 1	Qualitative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	Is there evidence of positive perceptions of partners and stakeholders on their involvement in developing the 2012-2013 Annual Plan?
			Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		Year 1	Qualitative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	Have MEL tools been investigated and trialled and how will they inform future programming? (including participatory photography & story collection, mobile phones, video and radio)
			Oxfam (MEL officer in Zambia - WASH Adviser in South Africa)		Year 1	Qualitative	Zambia: SPM, PM, MEL Officer. South Africa & overall program: WASH Adviser, program Manager.	Annually	PLT, Partners, Annual reporting, government bodies where relevant.	Have MEL indicators been tested and baseline collected?

Annex 4: AACES PROGRAM RISK REGISTER (@ 11 May 2011)

Scope (A)	Risks Identified (B)	Risk Effect	Type of Risk	Consequences		Current Controls in Place (E)	Risk Owner (F)	Action Plan (G)	Action Timeline	Is the risk assessed through the M&E system? (Y/N)
			Internal / External	Impact High/Med/Low (C)	Probability High/Med/Low (D)					

Program

Leadership & Management

Relationship between OAU and OGB staff in overseeing the program across SA and Zambia.	Could experience delays in decision making and tension on differing views.	Slow down business processes.	Internal	Med	Med	Good communication and consultation practices in place at all levels.	PM	Program staff to communicate regularly to discuss program Management issues. Provision of complaint mechanisms within working agreements.	Ongoing	Yes (partnership surveys)
Ineffective and unethical management and support systems (Oxfam and partners).	Brand risk, low program quality, lack of accountability, breach of funding contracts.	Program ends.	Internal	High	Low	Capacity building for improved systems. Ongoing internal monitoring, accountability systems and reviews including monitoring visits, audits, finance system reviews, program management sign off delegations.	PM, Melbourne based staff	Continued use of current controls.	Ongoing	Yes (monitoring visits etc)
Retention and recruitment of staff with strong WASH expertise difficult / volatile.	Loss / lack of expertise and WASH experience.	Disrupts / Slows down implementation.	Internal	High	Med	Staff management and recruitment practices in place. Clear identification of skill set required. Ongoing staff support and motivation mechanisms in place.	CD	Periodic review of staff conditions. Ongoing performance management and support.		No

Change management Process

Changes in Oxfam's management structure.	Organisational change has potential for unsettling staff and may affect morale. Change processes distract staff and management from program implementation. Delays could be experienced in decision making.	Will slow down program processes and divert management attention to staff issues.	Internal	Med	Med	Concerted management effort and leadership to keep the process on track and ensure program implementation not impacted.	Country Leadership Team (CLT) with support from HR	Giving staff updates and engaging with individuals with concerns. Being consistent in managing the change management plan. Ongoing management monitoring of the program implementation. Country Leadership team to meet regular and monitor any issues.	Ongoing	Yes (through program implementation reports)
--	---	---	----------	-----	-----	---	--	---	---------	---

Annex 4: AACES PROGRAM RISK REGISTER (@ 11 May 2011)

Scope (A)	Risks Identified (B)	Risk Effect	Type of Risk	Consequences		Current Controls in Place (E)	Risk Owner (F)	Action Plan (G)	Action Timeline	Is the risk assessed through the M&E system? (Y/N)
			Internal / External	Impact High/Med/Low (C)	Probability High/Med/Low (D)					

Achieving Objectives										
Different approaches in Zambia and South Africa.	Has the potential to overly complicate the program, MEL and reporting. Potential to slow down program implementation.	Slow or poor implementation. Unable to effectively report overall impact of the program.	Internal	Med	Med	Ongoing communication and engagement across the countries and with AusAID. Monitoring of impact of program and reporting.	PM	Flexibility within the program and MEL should the need to adjust arise.	Ongoing	Yes
Funding	Not enough funding to meet all of the program objectives and address the extent of the need in communities.	Will slow program implementation and compromise sustainability of outcomes.	Internal & External	Med	Med	Ongoing support to develop funding strategy for the AACES program.	CLTs	Leverage the AACES program for potential funding.	Ongoing	Yes (financial reporting & monitoring)
Poor performance in implementation of program activities.	Incomplete and inappropriate activities.	Slow down of achievement of objectives, ineffective activities, funds not used effectively.	Internal & External	High	Med	Ongoing monitoring, identification of gaps and support for implementation of activities. Monitoring of appropriateness and effectiveness of activities. Partner capacity assessments conducted and any necessary support identified and agreed. Ensure clear articulation of contractual requirements.	PM, WA	Continued use of current controls.	Ongoing	Yes (monitoring visits, implementation reports etc)
Poor performance in addressing the needs of vulnerable groups.	Use of inappropriate technology.	Facilities not used and therefore program ineffective.	Internal & External	High	Med	Ongoing focus on community engagement to ensure facilities are relevant and appropriate.	PM, WA	Additional training and support to be provided to ensure addressing the needs of specific vulnerable groups.	Ongoing	Yes (monitoring visits, implementation reports etc)
Community engagement.	Communities unwilling or unable to participate in program or take up the services offered by partners.	Facilities and activities not used or effective and therefore program does not meet objectives.	External	High	Low	Ongoing focus on community awareness, capacity building, education and participation to ensure support by the target communities.	WA, PM, DCD, Partners	Continued use of current controls.	Ongoing	Yes (monitoring visits, implementation reports etc)

Annex 4: AACES PROGRAM RISK REGISTER (@ 11 May 2011)

Scope (A)	Risks Identified (B)	Risk Effect	Type of Risk	Consequences		Current Controls in Place (E)	Risk Owner (F)	Action Plan (G)	Action Timeline	Is the risk assessed through the M&E system? (Y/N)
			Internal / External	Impact High/Med/Low (C)	Probability High/Med/Low (D)					
	Women and other vulnerable groups not willing or unable to participate.	Program exacerbates inequalities.	External	High	Med	Clear strategies in program for gender and vulnerability inclusiveness.	WA, PM, DCD, Partners	Monitor implementation and adjust program as needed if not meeting objectives.	Ongoing	Yes
Inability to develop, maintain key relationships with relevant government bodies and staff.	Impact on the sustainability of the program. Inability to influence government policies and methodologies.	Will slow program implementation and compromise sustainability of objectives.	External	Med	Med	Regular meetings and engagement with relevant government officials at all levels. Seek new opportunities for engaging government.	PM, WA, Partners	Continued use of current controls. Program to remain flexible and adjust if needed.	Ongoing	Yes (implementation reports, partnership survey etc)
Inappropriate or poor design of WASH services.	Beneficiaries are slow to take up services, reduction of sustainability of project.	Failure to meet program objectives.	Internal	Med	Med	Consultation with beneficiaries at all stages of the program design, implementation, M&E etc to ensure it meets their needs. Partners trained in use of participatory development processes. Ongoing monitoring to ensure effective and meaningful engagement and also to ensure facilities are being used.	PM, WA, Partners	Continued use of current controls. Program to remain flexible and adjust if needed.	Ongoing	Yes (monitoring visits, implementation reports etc)
Inability to meet Gender objectives.	Changes in power relationships and ownership of assets do not occur.	No changes in equity.	External	Med	Med	Continued involvement of both men and women in the consultation processes and training in gender relationships.	PM, WA, Partners	Continued use of current controls. Program to remain flexible and adjust if needed.	Ongoing	Yes (monitoring visits, implementation reports etc)
Design or location of facilities do not provide suitable privacy / security for women and children.	Increased risk of gender based violence. Women and children unable or feel uncomfortable to use facilities.	Decreased use of facilities and program unable to meet objectives.	Internal & External	Med	Med	Ongoing engagement of women and children to ensure facilities developed that meet their needs.	PM, WA, Partners	Continued use of current controls. Program to remain flexible and adjust if needed.	Ongoing	Yes (monitoring visits, implementation reports etc)

Annex 4: AACES PROGRAM RISK REGISTER (@ 11 May 2011)

Scope (A)	Risks Identified (B)	Risk Effect	Type of Risk	Consequences		Current Controls in Place (E)	Risk Owner (F)	Action Plan (G)	Action Timeline	Is the risk assessed through the M&E system? (Y/N)
			Internal / External	Impact High/Med/Low (C)	Probability High/Med/Low (D)					
Opposition to gender related activities that are perceived to be against the mainstream construction / culture.	Decreased participation in program activities by both men and women. Lack of buy in from key groups.	Delay in program, poor community engagement, poor design and implementation and therefore unable to meet program objectives.	Internal & External	High	Med	Continued involvement of both men and women in the consultation processes and training in gender. Monitor to ensure appropriate engagement of all parties and relevant buy in is obtained.	PM, WA, Partners	Continued use of current controls. Program to remain flexible and adjust if needed.	Ongoing	Yes (monitoring visits, implementation reports etc)
Women unable to participate in program design / activities due to high workload.	Program does not address women's needs.	Reduced impact.	External	Med	Med	Ongoing engagement of women to ensure program developed to meet their needs.	PM, WA, Partners	Continued use of current controls. Program to remain flexible and adjust if needed. New opportunities to support the engagement of women be considered and tested.	Ongoing	Yes (monitoring visits, implementation reports etc)
Finance										
Financial reporting across two countries and multiple partners.	Challenge of using multiple financial reporting systems across Oxfam affiliates and partners.	Delays in financial reporting. Difficulty in assessing the FX variances.	Internal	Low	Low	The two affiliates have already worked together on programs and have good understanding of how each affiliate works. Existing systems and processes in place that can support the financial management and reporting.	PM, WA, FM	All relevant financial and program management staff are clear about the AusAID financial requirements. Support will be provided to partners to assist in reporting against AusAID requirements. Partner contracts to be reviewed and ensure all relevant AusAID requirements are included. Simple financial acquittal proforma to be developed to assist in consistency of reporting – support and training to be provide.	Ongoing	Yes (financial reporting & monitoring)

Annex 4: AACES PROGRAM RISK REGISTER (@ 11 May 2011)

Scope (A)	Risks Identified (B)	Risk Effect	Type of Risk	Consequences		Current Controls in Place (E)	Risk Owner (F)	Action Plan (G)	Action Timeline	Is the risk assessed through the M&E system? (Y/N)
			Internal / External	Impact High/Med/Low (C)	Probability High/Med/Low (D)					
Inflation.	High inflation impacts on purchasing power of the programs which subsequently impacts on program spend and also the salaries of staff.	Program spend increases. Subsequent impact on ability to complete activities if expenditure higher than budget. Low staff morale and difficult recruitment.	External	Med	Low	Ongoing financial reporting and monitoring. Ongoing support to partners to review and amend budgets should this be required. Annual Oxfam salary surveys / reviews.	PM, FM and HRM	Continued use of current controls.	Ongoing	Yes (financial reporting & monitoring)
Exchange rate fluctuations.	Expenditure differs to budget with either higher or lower cost of activities.	Budget over or under spent.	External	Med	Med	Ongoing financial reporting and monitoring, with particular focus in early months of the financial year. Use conservative rate for budgeting. Forward purchasing of foreign currency where appropriate.	FM in consultation with CD	Continued use of current controls.	Ongoing	Yes (financial reporting & monitoring)
Program Monitoring Evaluation and Learning										
MEL framework inadequate to reflect, merge and track differing and changing program outputs across two countries	Mismatch between program aspiration and changing context and high level M&E framework for the two countries	More concentration on increasing access to services and less on sustainability. Difficulty in being able to report and monitor impact through the MEL.	External	Med	Med	Input from both country staff into design of AACES program. Ongoing review and reflection of the program and the MEL framework.	PM, WA	Maintain focus on qualitative outputs and impact where possible. Build flexibility in to the program and MEL framework to support change over time.	Design period and ongoing	Yes (annual reflection processes & review of the MEL framework)
Logistics & Environment:										
Logistical challenges as a result of the rural target areas.	Challenges in accessing the area for monitoring and program implementation. Difficulty in delivery of equipment and supplies. Increased costs of delivery.	Delay in program implementation. Increased costs. Negative impact on monitoring, report writing and MEL.	Internal	Low	Low	Ongoing support to partners to address logistical issues. Ongoing support for quality program monitoring by partners.	WA. PC	Continued use of current controls. Plan trips when the weather is conducive.	Ongoing	Yes (monitoring visits, implementation reports etc)

Annex 4: AACES PROGRAM RISK REGISTER (@ 11 May 2011)

Scope (A)	Risks Identified (B)	Risk Effect	Type of Risk	Consequences		Current Controls in Place (E)	Risk Owner (F)	Action Plan (G)	Action Timeline	Is the risk assessed through the M&E system? (Y/N)
			Internal / External	Impact High/Med/Low (C)	Probability High/Med/Low (D)					
Potential environmental consequences of the program.	Environmental damage and loss of vital ecosystem resources.	May negate the intended health and livelihood benefits of the program. Long term damage to the environment and subsequent impact on access to natural resources.	Internal	Low	Low	Most projects are small scale with low potential to damage the environment. Inbuilt requirements for Environment Assessments (EA) and Environmental Impact Assessments (EIA) for big projects in accordance with national regulations.	PM WA	Continued use of current controls. Ongoing support for analysis of design and implementation process to minimise adverse effects on environment.	Ongoing	Yes (monitoring visits, implementation reports etc)
Humanitarian disaster.	Droughts or floods in operational areas	Community members and livelihoods disrupted, and program focus diverted.	External	Med-high	Med	Contingency planning. Disaster risk reduction training where high risks identified.	PM WA	Continued use of current controls. Development of appropriate technologies that consider potential impact of flood / drought.	Ongoing	Yes (monitoring visits, implementation reports etc)

Annex 4: AACES PROGRAM RISK REGISTER (@ 11 May 2011)

Scope (A)	Risks Identified (B)	Risk Effect	Type of Risk	Consequences		Current Controls in Place (E)	Risk Owner (F)	Action Plan (G)	Action Timeline	Is the risk assessed through the M&E system? (Y/N)
			Internal / External	Impact High/Med/Low (C)	Probability High/Med/Low (D)					

South Africa

Program and Partnerships – Working with others

Partner Capacity	Partners lack skills in issues around WASH, gender, disability, environment, climate change etc.	Delay in implementation of activities. May not initially be an inclusive program.	External	Med	Med	Completion of partner capacity assessment and ongoing capacity building support. Support for community capacity building. Provision of external technical support if required.	PM WA	Continued use of current controls ensuring comprehensive view of capacity building.	Immediate and ongoing	Yes (monitoring, implementation reports etc)
Child protection policies	Challenges around the introduction and implementation of child protection policies and practices in partners and Oxfam.	Incidents of child abuse reported. Incidents of child abuse not reported due to inadequate systems and monitoring. Jeopardize the provision of AusAID funding and ongoing support for the program.	External	Med	Med	Partners and staff trained and supported in child protection matters. Partners assisted to develop own child protection policy. Partners assisted to complete child protection risk registers/ analysis and assisted to respond to potential risks.	PM WA	Continued use of current controls with increased attention and prioritisation.	Immediate and Ongoing	Yes (partner monitoring visits, capacity assessments) Internal, Oxfam, monitoring to occur outside of this program
Minimum WASH skills	Partners lack the knowledge to implement WASH projects and activities.	Mediocre program and loss of opportunity.	Internal & External	High	Med	Completion of partner capacity assessment and ongoing capacity building support. Provision of external technical support if required. Partners receive training and supported for implementing WASH. Partners are networked with partners which have WASH technical expertise and knowledge.	PM WA	Continued use of current controls.	Program design & ongoing	Yes (monitoring, implementation reports etc).

Annex 4: AACES PROGRAM RISK REGISTER (@ 11 May 2011)

Scope (A)	Risks Identified (B)	Risk Effect	Type of Risk	Consequences		Current Controls in Place (E)	Risk Owner (F)	Action Plan (G)	Action Timeline	Is the risk assessed through the M&E system? (Y/N)
			Internal / External	Impact High/Med/Low (C)	Probability High/Med/Low (D)					

Political Context										
Political interference	Field work disrupted by campaigning and/or violence and attempts by Ward counsellors to politicise Partner's activities	Project work falls behind, staff and partners may be intimidated	External	Med - high	Low – med	Ongoing monitoring and support to partners. Annual plans to take this in to account. Revision of annual plans to be done should significant delays occur.	PM, WA	Continued use of current controls.	Ongoing	Yes (monitoring, implementation reports etc).
Willingness of local leadership (Ndunas Ward counsellors etc) to participate in programs.	If buy in is not gained the program can be hindered or jeopardized.	Slowed down program implementation.	External	Med	Med	Involvement of key local leadership as early as possible in the program design and throughout the program.	Partners	Ongoing communication and involvement of stakeholders.	Program design and Ongoing	Yes (monitoring visits, implementation reports etc)
Government does not take up its role in service delivery.	Inadequate government service delivery.	Ongoing sustainable delivery of services at risk.	External	Med	Med	Clear communication and engagement with government regarding responsibilities. Engagement with government is a key element of the program. Ongoing monitoring of success and barriers to be conducted.	WA, Partners	Continued use of current controls. Increased support for partners and communities to hold duty bearers to account.	Ongoing	Yes (monitoring visits, implementation reports etc)
Government structures fail to engage in program.	Not enough consultation with local government structures and IDP plans etc.	Threats to sustainability of interventions.	External	Med	Med	Involvement of government in program design. Continued advocacy at all levels	PM, WA	Continued use of current controls. Clear communication and advocacy plans	Program design and ongoing	Yes (monitoring visits, implementation reports etc)
Government service strikes.	Regular service delivery strikes among public workers.	Disruption / delay in program implementation.	External	Med	Med	Ongoing monitoring and support to partners. Annual plans to take this in to account. Revision of annual plans to be done should significant delays occur.	PM, WA	Continued use of current controls.	Ongoing	Yes (monitoring visits, implementation reports etc)

Annex 4: AACES PROGRAM RISK REGISTER (@ 11 May 2011)

Scope (A)	Risks Identified (B)	Risk Effect	Type of Risk	Consequences		Current Controls in Place (E)	Risk Owner (F)	Action Plan (G)	Action Timeline	Is the risk assessed through the M&E system? (Y/N)
			Internal / External	Impact High/Med/Low (C)	Probability High/Med/Low (D)					
Zambia										
Legal Issues										
Partners Legality.	A concern that upon registration under the new Act local partners may be given conditions that make it difficult for them to operate in the areas we are operating.	We may lose some of the partnerships if they are required to operate in different areas under the new Law.	External	High	Med	Will continue to engage with the INGO/Donor Lobby group, and will begin to explore a wider range of partnerships.	CPM	Continue with the lobby actions Widen our partnerships.	Ongoing Ongoing	Yes (monitoring visits, implementation reports etc)
Program and Partnerships – Working with others										
Partner Capacity.	Partners may be unable to recruit and retain staff to facilitate programs around gender, building active citizens, governance etc.	May slow down the work as we develop the skills of our partners.	External	Med	Med	Need to identify partners early enough and work with them through the program development process. Organise some specific trainings.	CPM, PM	Start exploring partnership with civil society organisations. Will staff exploring specific trainings.	Immediate and ongoing	Yes (monitoring visits, implementation reports etc)
Low transparency and accountability among partners / corruption.	Loss of project resources and confidence in the ability of the project to meet its outcomes.	mediocre program outputs and loss of opportunity.	External	High	Med	Strict budget management and procurement monitoring.	CD, CPM, PM	Inclusive program design, participative approaches, enforce code of conducts.	Program design & ongoing	Yes (monitoring visits)
Political Context										
Elections in 2011.	Field work disrupted by campaigning and/or violence in the aftermath, attempts by politicians to politicise Oxfam activities.	Project work falls behind, staff and partners may be intimidated.	External	Med - high	Low – med (this has historically not happened)	Security updates received from the UN and security discussed in each SLT and PLT.	CD and Logs manager	Careful monitoring of security situation including with UN and other INGOs.	Ongoing but will step up once exact date of elections is known	Yes (monitoring visits, implementation reports etc)
Barotse Tension.	The tension between the Government of Zambia and proponents of the Barotse independence may continue.	Social unrest may make it difficult for the WASH program to continue.	External	High	Med (had some violence in the month of January)	Security monitoring, but at the moment its not in open national forums yet.	CD, Logs manager &, PM	Regular update from the team in Mongu, and other INGOs working the area.	Ongoing	Yes (monitoring visits, implementation reports etc)

Annex 4: AACES PROGRAM RISK REGISTER (@ 11 May 2011)

Scope (A)	Risks Identified (B)	Risk Effect	Type of Risk	Consequences		Current Controls in Place (E)	Risk Owner (F)	Action Plan (G)	Action Timeline	Is the risk assessed through the M&E system? (Y/N)
			Internal / External	Impact High/Med/Low (C)	Probability High/Med/Low (D)					
Willingness of government officials to participate in programs.	There may not be enough funds to pay field allowances to all key government officers.	Slowed down program implementation.	external	Med	Med	Involvement of heads of departments of key government institutions in program management.	CD, CPM, PM,	Embed issue of field allowances in partnership discussions.	Program design and Ongoing	Yes (monitoring visits, implementation reports etc)
Government commitment to programs.	Inadequate finances to implement key programs (NRWSSP, SHN).	Threats to sustainability of interventions.	External	Med	Med	Involvement of government in program design. Continued advocacy at national level.	CD, CPM, PM,	Continue advocacy at national level and involvement of government.	Program design and Ongoing	Yes (monitoring visits, implementation reports etc)
Economic Context										
Inflation – specifically linked to copper price fluctuations.	High inflation impacts on purchasing power of the programs which subsequently impacts on program spend. High inflation also eats away at purchasing power of staff.	Program spend increases. Subsequent impact on ability to complete activities if expenditure higher than budget. Low staff morale and difficult recruitment.	External	Med	Low	Ongoing financial reporting and monitoring. Ongoing support to partners to review and amend budgets should this be required. Careful monitoring, annual salary surveys.	FM and HRM	Continued use of current controls.	Ongoing	Yes (financial reporting & monitoring)
Exchange rate appreciates – specifically linked to copper price fluctuations.	Higher cost (than budgeted) of activities.	Budget overspend.	External	Med-High	Med	Careful monitoring of budgets, cautious spending, especially in early months of the f/y. Use conservative rate for budgeting.	FM in consultation with CD	Continued use of current controls	Ongoing	Yes (financial reporting & monitoring)
Financial Systems										
Internet connectivity.	Poor connectivity.	Delays in program processes like OPAL and CRIMSON, and poor access to internet based data and communication systems.	External	Med	Med	In the process of changing internet provider.	CD, IT, ACD	Ongoing review.	Ongoing	No



Australia Africa Community Engagement Scheme

Community Led Access to Water, Sanitation & Hygiene

OPERATIONAL PLAN

Year One

June 2011 – July 2012



Matthew Willman/OxfamAus

AACES

The overarching goal of the broader AACES program is **to improve the health and quality of life of the poor and vulnerable in targeted areas of Zambia and South Africa.** While the Oxfam program will focus primarily on WASH, the design of the program is also intended to result in impact on community level food security and maternal and child health. The AACES objectives are:

- 1 Marginalised people have sustainable access to the services they require;
- 2 AusAID policy and programs in Africa are strengthened particularly in their ability to target and serve the needs of poor and vulnerable people; and
- 3 Increased opportunity for the Australian public to be informed about development issues in Africa.

Operational Plan: Year One

This operational plan covers the first year of the AACES program (June 2011 – July 2012). The Oxfam AACES program focuses on Water, Sanitation and Hygiene (WASH) in two Southern African Countries – Zambia and South Africa. Both countries have large rural populations where WASH services are lacking despite progressive policies and the good intentions of both country governments. The overall goal of the program is to improve the health and quality of life of the poor and vulnerable in targeted areas of Zambia and South Africa. The proposed budget for the first year is AUD\$1.3 million.

In Zambia the program will build on Oxfam experience of implementing WASH programs and will be aligned with Zambian Government standards and institutions' efforts to provide services over the full five year period. In South Africa the program will be delivered through existing non-governmental partners across the three existing programs (food security, HIV and child protection). In year one the program will be building on specific identified needs across current programs in South Africa, with the key learning, pilot activities and research informing a longer term integrated WASH strategy. The program will also focus on advocacy and capacity building to lever opportunities to increase impact, and influence policy in the region, across the continent and globally.

Oxfam Program Goal & Objectives

Improve the health and quality of life of the poor and vulnerable in targeted areas of Zambia and South Africa.

The objectives for the Oxfam AACES program are:

1. Increased access to, and the effective use of, improved integrated and sustainable water supplies, and sanitation and hygiene (WASH) services;
2. Reduced WASH-related inequalities in gender and marginalised groups
3. Strengthened capacity of stakeholders to manage and implement WASH programs on a sustainable basis;
4. Improved WASH governance and effectiveness; and
5. Document and shared learning that informs policy, public engagement and program development and growth.

AACES objective 2 + 3 (noted above) are respectively covered within the Oxfam Objectives 4 + 5 with policy engagement with AusAID occurring alongside broader policy engagement to ensure improved WASH governance and effectiveness. Australian community engagement will occur around issues and successes being experienced within the program.

Partners

The AACES program will identify and select partners in South Africa from the existing Oxfam partners which are ready to begin engaging with Oxfam in the WASH sector. Initial activities will be piloted in South Africa with the following partner organisations:

- Woza Moya;
- Save the Children;
- Operation Upgrade; and
- Lima rural foundation trust.

These partners have been selected from Oxfam's existing food security, HIV and AIDS and child social protection programs due to existing issues that have been identified. A table of the existing partners in South Africa is provided in Appendix 1. During year one the AACES program will also identify and map opportunities for potential support across the existing partners for the remainder of the program.

In Zambia Oxfam will continue to maintain its existing partner base and continue the activities from the AusAID Water and Sanitation Initiative program. Key partners in Zambia will be:

- Minister of Health;
- Minister of Education;
- District Councils;
- Keepers Foundation.

Key Activities

Detailed activity plans are provided below, however the following are key tasks to be addressed during year one:

In South Africa:

- a) Conduct baselines.
- b) Conduct research and pilot WASH strategies and activities for integrating WASH in to the existing Oxfam programs with existing South Africa partners.
- c) Assessing partner's knowledge and capacity in the area of WASH and design appropriate capacity building plans for the program.

In Zambia:

- a) Conduct baselines.
- b) Implement relevant components of government WASH programmes (NRWSSP and SHN) in target communities (including the installation of Hardware).
- c) Establish and rationalise linkages and operations of community level structures.

Across the two programs:

- a) Find/develop appropriate training materials on all aspects of WASH including; hygiene promotion, gender sensitive materials on management, WASH technical skills, disability inclusiveness etc. Train community management structures in all aspects of WASH.
- b) Test the Monitoring, Evaluation and Learning framework (both financial and narrative) including the introduction of innovative data collection and monitoring methods (cell phones, photography, story telling videos) across both countries.
- c) Train partners communities and beneficiaries in advocacy and support the development and implementation of advocacy plans.
- d) Developing peer support systems and process – including facilitating exchange and inter-organisational and across country learning.
- e) Annual reflection across countries to share learning and monitor progress.

Documenting and sharing: Specific areas of partner work will be identified with a view to documenting learning such as a possible **case study in each country**, detailing best practise in relation to WASH, gender and/or people living with disabilities. Partners will be encouraged to document processes and promising practices internally and to share these through the program using a variety of innovative methods. Learning notes¹ will be made available to partners as and when they are generated.

a. _____

¹ Short, issue specific documents highlighting particular learning, experiences or approaches emerging from the program

Research focus areas:

- Desk/literature review around the intersection of HIV and AIDS and Food Security (South Africa);
- Study on how WASH related infectious diseases affect anti-retroviral treatment (ART) efficacy (South Africa);
- Baseline study carried out for each partner including mapping and the role of women in WASH activities (SA and Zambia)
- Relevance of CLTS within Southern Africa.

Workshops & Partner Training: Consultative workshops will be held in South Africa to highlight current WASH issues, explore innovative responses, and key role players to assist in providing direction for the program. Partners will also be supported and trained in South Africa and Zambia on child protection, gender issues and disability inclusive development in relation to WASH.

Linking and learning:

- **Identifying Link & Learn opportunities:** The program will identify information-sharing bodies, structures and mechanisms with which it will work. These will include networks, membership associations, forums and paper/electronic media at the local, national, regional and international levels which may be of value for the program and/or partners to link and learn with/from.
- Partners will be supported to participate in **Oxfam Partner Events** that will provide an opportunity for partners to work together on issues common to programming in both South Africa and Zambia.
- Program staff will summarise information gathered during the course of the year and communicate it to partners. Staff will also respond to partners' requests for linking and learning, where feasible, and will develop specific linking and learning initiatives in response to emerging needs.
- Partners will be supported to participate in **exchange visits** with peer organisations. The opportunities for exchange are to be identified and facilitated by program staff in consultation with the partners.
- A limited number of **WASH conference attendance** opportunities will be made available for partners who will play an active role in the events they are to attend i.e. only partners who are presenting at particular events will have their participation subsidised, budget permitting.

Advocacy: Partners will be trained in Advocacy, assisted to design Advocacy plans and mentored to implement them. The need to set up a partner WASH forum amongst partners will be considered.

Program management activities will include:

Supporting partners:

- **Monitoring visits and partner reporting:** Monitoring visits to partners will take place at least twice a year. Partner reporting will continue to be bi-annual. Monitoring visits will discuss partner reports, review project activities and technical support plans and advise on program management issues.
- **Managing technical support provision:** Partners will be encouraged to identify their own technical support needs.
- **Financial technical support:** Finance officers will visit partners to conduct an audit of financial processes.
- **Monitoring, Evaluation and Learning:** Partners will be assessed and supported to develop baseline and monitoring systems. Partners will be assisted to develop their reporting systems in line with the AACES MEL system. Assistance will be provided to assist partners to share information gathered through the MEL framework with others.

Staff development systems will continue to ensure that updated knowledge and skills related to WASH, HIV and AIDS, children and food security are provided. Plans and programs will continually be assessed in relation to the Oxfam Joint Country Analysis Strategy in both South Africa and Zambia. The cross country program will seek to develop new ways of working to streamline narrative and financial reporting in line with AusAID requirements.

To ensure that the management of the AACES program enables organisations to work towards the programmatic objectives effectively and ethically the following activities will take place:

- The program team will collaborate in accordance with their agreed roles and responsibilities and will seek to refine processes across the two countries for better harmonisation.
- Oxfam staff working on the program will undertake learning and develop activities as required to ensure they have the necessary skills and management support to carry out their roles and responsibilities effectively within the program.

The Program Management Team, comprising the South Africa WASH Adviser, Zambia (Mongu) WASH Program Manager and the South Africa Program Manager, will be responsible for the overall management of the program and will meet as and when required and conduct annual monitoring visits to program partners.

Appendices

- 1. South Africa Partners list**
- 2. Program Annual Plan**
- 3. Program Annual Budget (June 2011 to July 2012)**

Appendix 1: Existing South Africa Partners

Food Security Partners		
1	BioWatch	KwaZulu-Natal
2	Fancy Stitch	KwaZulu-Natal
3	Farmer Support Group	KwaZulu-Natal
4	Isibani Sethembe	KwaZulu-Natal
5	Lima Rural Development Trust	KwaZulu-Natal
6	Maputaland Development and Information Centre	KwaZulu-Natal
7	Ophondweni Youth Development Initiative	KwaZulu-Natal
8	Ubombo Drop in Centre	KwaZulu-Natal

Child Social Protection Partners		
1	CINDI	KwaZulu-Natal
2	Keep the Dream	Limpopo
3	Refugee Social Services	KwaZulu-Natal
4	Save the Children	KwaZulu-Natal
5	Thusanang Trust	Limpopo
6	Vhutshilo Mountain School	Limpopo

HIV and Aids partners		
1	Africaid WhizzKids United	KwaZulu- natal
2	AIDS Legal Network (ALN)	National
3	CATCH Projects	Eastern Cape
4	Clermont Community Resource Centre	KwaZulu-Natal
5	Curt Warmberg "Haven Wellness Centre"	Eastern Cape
6	Department of Social Responsibility (DSR)	Eastern Cape
7	Hillcrest AIDS Centre Trust	KwaZulu-Natal
8	Justice and Women (JAW)	KwaZulu-Natal
9	KwaMakhutha Community Res Centre (KCRC)	KwaZulu-Natal
10	KwaZulu Regional Christian Council	KwaZulu-Natal
11	LifeLine Durban Ithuba lethu Initiative	KwaZulu-Natal
12	Operation Upgrade	KwaZulu-Natal
13	Palabora Foundation	Limpopo
14	Pietermaritzburg Agency for Christian Social Awareness (PACSA)	KwaZulu-Natal
15	PMB Gay & Lesbian Network	KwaZulu-Natal
16	Project Empower	KwaZulu-Natal
17	Sinani (KZN Programme for Survivors of Violence)	KwaZulu-Natal
18	Sophakama Comm, Based Dev Care & Support Organisation	Eastern Cape
19	Tholulwazi Foundation	KwaZulu-Natal
20	Umdoni and Vulamehlo HIV/AIDS Association (UVHAA)	Eastern Cape
21	Woza Moya	KwaZulu-Natal
22	Wilderness Foundation SA	Eastern Cape

Zambia Activity Plan

AACES Proposed Outputs & Activities Oct 2011 - Jul 2012

Zambia

Overall Goal: The health and quality of life of the poor and vulnerable in targeted areas of Zambia and RSA is improved.						
Outcomes/Objectives	Outputs	Activities	Timeframe		Responsibilities	Comment
			From	To		
1 Increased access to, and effective use of, improved integrated and sustainable water supplies, sanitation and hygiene (WASH) services.	1.1. Increased number of functioning, gender sensitive, quality WASH/Livelihood facilities in targeted areas	1.1.1. Construct and rehabilitate water points at schools, Rural Health Centres and communities (see 1.3.1)			KZF, PPS, LA, MOH, MOE	To be done as part of 1.3.1.
		1.1.2. Construct latrines and other sanitation facilities especially for girls in schools. (see 1.3.1)				To be done as part of 1.3.1.
		1.1.3. Implement the NRWSSP Sustainable Operation and Maintenance Approach (SOMAP) in target communities. (See 3.2.1)			LA	To be done as part of 3.2.1.
		a <i>Train facility Care Takers / maintenance personnel in 4 Wards (See 3.2.1)</i>				To be done as part of 3.2.1.
		b <i>Train sub district structures in management of SOMAP (see 3.2.1)</i>				To be done as part of 3.2.1.
		c <i>Procure Seed Stock for Sub District SOMAP structures in 4 Wards (See 3.2.1)</i>				To be done as part of 3.2.1.
		d <i>Monitor SOMAP activities (see 3.2.1)</i>				To be done as part of 3.2.1.
		1.1.4. Develop annual participatory plans with clear targets on WASH facilities. (See 3.3.3.)				KZF, PPS, LA, Oxfam
	1.2. Communities practice better hygiene	1.2.1. Conduct hygiene promotion using relevant and contextually appropriate methodologies / approaches.	Oct-11	Mar-12	KZF, PPS, Oxfam, MOH, MOE	
		a <i>Critically review current HP approaches and structures</i>	Oct-11	Mar-12		To be organised by South Africa
		b <i>Learning visit to WaterAid Tanzania WASH programmes</i>	Dec-11	Jan-12		
		c <i>Begin implementing recommendations of learning events</i>	Mar-12	Mar-12		To be done as part of training
		d <i>Conduct Health Promotion Activities in Target Areas</i>				Will be done as part of 1.3.1.
		e <i>Monitor implementation of Hygiene promotion activities</i>	Oct-11	Mar-12		M&E
		f <i>Explore ways of motivating Hygiene Promoters to improve their retention</i>	Oct-11	Jun-11	KZF, PPS, Oxfam	M&E
		1.2.2. Design and Implement approaches / processes to implement WASH in an integrated manner (see 3.3.3.)				KZF, PPS, LA, MOH, MOE
	1.3. Relevant government programmes deliver WASH services more effectively	1.3.1. Implement relevant components of government WASH programmes (NRWSSP and SHN) in target communities.	Oct-11	May-12	LA, MOE, KZF, PPS	
		a <i>Provide financial and technical support to CSO, government and local government agencies to implement NRWSSP and SHN activities in 4 Wards</i>	Jan-12	May-12		
		b <i>Explore Public-Private Partnerships in delivery of WASH</i>	Feb-12	Apr-12	Oxfam	
		c <i>Strengthen Oxfam PHP backstopping of partner institutions</i>	Oct-11	May-12	Oxfam	Maintains PHP position to support CB of partners in Public Health Promotion
d <i>Provide financial and technical support to CSO, government and local government agencies to oversee and supervise programme implementation</i>		Oct-11	May-12	Oxfam		
<i>Keepers Zambia Foundation (KZF)</i>						
<i>People Participation Services (PPS)</i>						
<i>Government and Local Government Institutions</i>						
e <i>Provide financial & technical support to CSOs, Ministry of Education / Ministry of Health and Local authorities to improve coordination of WASH interventions under the School Health and Nutrition Programme</i>		Oct-11	Jun-11	Oxfam, KZF, PPS,		
1.3.2. Conduct regular water quality testing with Ministry of Health (see 1.3.1)					MOH	To be done as part of 1.3.1.
2 Reduced WASH-related inequalities in gender, and vulnerable groups.	2.1. Enhanced representation and participation of women and vulnerable groups in decision making in relation to WASH	2.1.1. Targeted sensitisation, training, mentoring to increase knowledge and skills (on e.g. leadership, management, WASH technical skills etc)	Jan-12	May-12	KZF, PPS	
		2.1.2. Establish and strengthen gender sensitive community management structures (see 3.1.2)			LA, KZF, PPS	To be done as part of 3.1.2.
		2.1.3. Review vulnerable group targeting mechanisms and criteria (see 3.3.3.)			LA, KZF, PPS	To be done as part of 3.3.3.
		2.1.4. Develop and implement guidelines for fair representation of women and vulnerable groups in decision making (see 3.1.1)			LA, KZF, PPS	To be done as part of 3.1.1.

Outcomes/Objectives	Outputs	Activities	Timeframe		Responsibilities	Comment
			From	To		
	2.2. Gender and vulnerable group sensitive facilities, systems and processes	2.2.1 Appraise and implement changes to systems and processes that allow women's participation throughout project cycle (see 3.1.1 & 3.3.3)			KZF, PPS, LA	To be done as part of 3.1.1 & 3.3.3
		a Evaluate gender aspects of planning process and implement recommendations (connected to 3.3.3)				To be done as part of 3.3.3.
		2.2.2 Train more women in technical areas (construction and maintenance of facilities)	Oct-11	May-12	KZF, PPS	
		a Explore training oportunities with mongu & Kaoma Trades	Oct-11	Jan-12		
	b Design additional training requirements (wells & Boreholes) and discuss with trades schools	Nov-11	Mar-12			
	c Enroll and support training of women	Jan-12	May-12			
	2.3. Men more supportive of women's participation and leadership in targeted communities	2.3.1 Hold discussions on gender equality in men's indabas (see 2.1.1)			KZF, PPS	To be done as part of 2.1.1. Also linked to 3.1.1.
		a Identify target men's indabas in Kaoma & Mongu				
		b Train gender equality champions among indaba members				
		c Provide technical and logistical support for work of GE champions in men's indabas				
	2.3.2 Tailor-made gender training of men in community management structures (see 3.1.1 & 3.1.2)			KZF, PPS, LA	Linked to and will be done after 3.1.1 & 3.1.2	
3 Strengthened capacity of stakeholders to manage and implement WASH programmes on a sustainable basis	3.1. Functional and coordinated WASH management structures	3.1.1 Develop and implement capacity building plan for all stakeholders.	Nov-11	May-12	KZF, PPS, Oxfam	
		a Identify Capacity Gaps (consultancy and SH meetings)	Nov-11	Jan-12		
		b Develop strategies to address key capacity gaps	Jan-12	Feb-12		
		c Implement rolling capacity building plan	Apr-12	May-12		
		d Explore strategies to incorporate Climate Change issues into WASH	Nov-11	Mar-12		Done as part of AACES objective 2
		e Explore and implement child protection strategies in WASH	Nov-11	Mar-12		Done as part of AACES objective 2
		3.1.2 Establish and train community management structures	Nov-11	May-12	LA, KZF, PPS, Oxfam	
		a Review ADC structures in 4 target Wards	Nov-11	Jan-12		
		b Review village level management & technical structures	Nov-11	Jan-12		
		c Implement recommendations of reviews to strengthen respective structures in 4 Wards	Feb-12	May-12		
	a Train ADC and other structures in Participatory Planning approaches (including Strength Based Approaches)	Feb-12	May-12			
	3.1.3 Establish and rationalise linkages and operations of community level structures (see 3.1.1. & 3.1.2.)			KZF, PPS, LA	To be done as part of 3.1.1. & 3.1.2	
	3.1.4 Establish formal relationships between district institutions and community structures (see 4.2.1.)				To be done as part of 4.2.1	
	3.2. Facilities are managed and maintained for long term sustainability	3.2.1 Implement the NRWSSP Sustainable Operation and Maintenance Approach (SOMAP) in target communities	Mar-12	May-12	LA, KZF, PPS, Oxfam	Linked to and will be done after 3.1.1.
		3.2.2 Train more women in technical areas (construction and maintenance of facilities) see 2.2.2.				To be done as part of 2.2.2.
		3.2.3. Train stakeholders in key areas (O&M, resource mobilisation and management) see 3.2.1.)				To be done as part of 1.1.3.
		3.2.4. Provide information to stakeholders on WASH, HIV/AIDs, Gender etc via media and community meetings (see 2.1.1)			Oxfam, KZF, PPS, LAs, MOH, MOE	To be done under 2.1.1
	3.3. Stakeholders better recognise and deliver on their roles and responsibilities and citizens more actively hold duty bearers to account.	3.3.1. Develop strategies to enable stakeholders to deliver on their broader WASH roles and responsibilities (see 3.1.1 & 3.3.3)			KZF, PPS, LAs, Oxfam	To be done under 3.1.1 & 3.3.3
		a Conduct stakeholder analysis				
		b Develop Partnership Agreements and project contracts reflecting SH broader WASH mandates and responsibilities				
3.3.2 Monitor and influence implementation of WASH-related Laws and regulations by local authorities (see 3.1.1)					To be done under 3.1.1.	
3.3.3 Develop annual plans for the programme in a participatory process with stakeholders		Nov-11	May-12	KZF, PPS, LAs, Oxfam		
a Explore use of Strengthen Based Approaches- visit Kenya		Feb-12	Feb-12		Visit Anglicord Areas in Kenya	
b Train Local Facilitators in Participatory Planning and use of Strength Based Approaches		Mar-12	May-12			
c Ward Mapping - WASH	Nov-11	Mar-12		Linked to 3.1.1.		

Outcomes/Objectives	Outputs	Activities	Timeframe		Responsibilities	Comment	
			From	To			
		d Outline implementation processes / approach to integrate Water, Sanitation and Hygiene	Mar-12	May-12			
		e Annual Planning for 2012-2013 with all stakeholders	Mar-12	May-12			
		3.3.4 Train and mentor community leaders in advocacy skills (see 3.1.2)			KZF,PPS, Oxfam	This is linked to and will be done under 3.1.2.	
		3.3.5 Design and implement strategies to enhance transparency and accountability (see 3.1.1)			KZF, PPS, LAs, MOH, MOE	This is linked to and will be done under 3.1.1.	
		3.4.3 Provide information to stakeholders on WASH, HIV/AIDs, Gender etc via media and community meetings (see 2.1.1)			KZF, PPS, LA, Oxfam	To be done as part of 2.1.1.	
4 Improved WASH governance and effectiveness.	4.1. Citizens more actively hold duty bearers to account	4.1.1 See 3.3 (Zambia)					
	4.2. Oxfam and partners are more accountable to communities	4.2.1 Establish formal and accountable relationships with community structures including disclosure of project finances.	Nov-11	Feb-12	Oxfam, KZF, PPS, LAs, MOH, MOE		
		a Explore ways of deepening partnerships between community structures and NGO / Government agencies	Nov-11	Feb-12		This is linked to and will be done after 3.1.1.	
		b Draw up MOUs and contracts between community structures and NGO / Government agencies / Implement other recommendations of (a)	Feb-12	Feb-12		This is linked to and will be done after 3.1.1.	
	4.3. Enhanced participation and decision making of communities in the programme	4.3.1 Design and implement strategies to enable communities to decide key aspects of the project cycle (e.g. service levels, technology options, location of facilities) see 3.1.1					Will be done as part of 3.1.1.
		4.3.2 Develop annual plans for the programme in a participatory process with stakeholders.see 3.3.3.					Will be done as part of 3.3.3.
		4.3.3 Establish and train management structures in leadership, planning, participatory development etc (see 3.1.2.)			KZF, PPS, LAs		This is linked to and will be done after 3.1.1. & 3.1.2.
		4.3.4 Establish formal relationships between district institutions and community structures (see 4.2.1.)					Will be done as part of 4.2.1.
		4.3.5 Develop and implement medium term capacity building plans in a participatory framework see 3.1.1					Will be done as part of 3.1.1.
	4.4. Programme learning influence policy, regional bodies, OI campaigns, AusAID	4.4.1 Establish relationships with key District, Provincial and National government agencies		Oct-11	May-12	Oxfam	
		a Support DDCCs, DMMUs, and PDCCs meetings		Oct-11	May-12		
		b Explore working links with PPU, Decentralisation Secretariat and other appropriate government agencies		Oct-11	Mar-12		
		4.4.2. Contribute articles to Oxfam and AusAid information and campaign channels including official websites		Oct-11	May-12	Oxfam	
4.4.3 Explore ways of linking oxfam work to regional bodies especially those under the African Union			Oct-11	Mar-12	Oxfam		Lusaka office will play a leading role on this one (program support cost)
5 Documentation and shared learning informs policy and public engagement, programme development and growth.	5.1. Monitoring processes and opportunities for innovation inform programme development and growth	5.1.1 Conduct baseline studies	Oct-11	Jan-12	Oxfam		May be done through consultancy
		5.1.2 Develop annual plans based on evidence from partner engagements and other sources. (See 3.3.3)			KZF, PPS, LA		Will be done as part of 3.3.3
		5.1.3 Monitor programme implementation			Oxfam		
		a Strengthen Oxfam MEL function			Oxfam		This will support maintaining MEL position in Oxfam
		b Backstopping partners and programme monitoring			Oxfam		
		5.2.4 Mid Term Review					To be done in the third year
	5.2. Oxfam policy engagement informed by clear understanding of local context and issues	5.1.5 Evaluate programme					To be done in the fifth year
		5.2.1 Conduct periodic research				Oxfam	Will be undertaken from year 2.
		5.2.2 Participate in national WASH fora		Oct-11	May-12	Oxfam	
		5.2.3 Design creative ways of capturing and documenting experiences and lessons from programme implementation				Oxfam	Part of MEL costs (10%)
		a Design 2011-2012 monitoring & Learning Framework & approach (explore activities such as annual reflection, participatory photography & story collection, satisfaction surveys, testing of other possible MEL tools eg mobile phones					Linked to and will be done after 3.1.1.
	5.3. Programme effective in meeting the needs of communities	5.3.1 Evaluate health promotion approaches and strategies and implement recommendations to meet needs of communities - (see 1.2.1.)				Oxfam, KZF, PPS, LA, MOH, MOE	Will be done as part of 1.2.1.
		5.3.2 see activities under outcomes 1,2,3					
5.5.4 Partner exchange visits between SA and Zambia.			Mar-12	Mar-12	Oxfam		