Change is Possible: Transforming the WASH Sector in Zambia to fulfill rights to WASH for everyone

WaterAid

Zambia Country Strategy 2016-2021

List of Acronyms

CLTS	Community Led Total Sanitation
CP	Country Programme
CPS	Country Programme Strategy
CSPR	Civil Society Poverty Reduction
DDCC	District Development Coordinating Committee
DWA	District Wide Approach
DPP	Democratic People's Party
E&I	Equity and Inclusion
ECCD	Early Childhood and Care Development
EU	European Union
INGO	International Non-Governmental Organization
JMP	Joint Monitoring Report
JSR	Joint Sector Review
LA	Local Authorities
MCDMCH	Ministry of Community Development Mother and Child Health
MoCTA	Ministry of Chiefs and Traditional Affairs
MoF	Ministry of Finance
MoGE	Ministry of General Education
MoH	Ministry of Health
MLGH	Ministry of Local Government and Housing
MMEWD	Ministry of Mines, Energy and Water Development
MDG	Millennium Development Goals
MHM	Menstrual Hygiene Management
NGO-WASH	Non-Governmental Organization WASH Forum
ODF	Open Defecation Free
PIMS	Post Implementation Monitoring Survey
PMIS	Project Monitoring Information System
SNDP	Seventh National Development Plan
SWAp	Sector Wide Approach
SAG	Sector Advisory Group
SDG	Sustainable Development Goals
RBA	Rights Based Approach
UNICEF	United Nations Children Fund
WARMA	Water Resources Management Authority
WASH	Water, Sanitation and Hygiene
WASAZA	Water Sanitation Association of Zambia
WAZ	WaterAid Zambia
ZEMA	Zambia Environmental Management Authority

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Executive summary

Zambia attained its independence from British colonial rule in 1964 and has enjoyed relative peace since then. However, poverty levels have remained high with 78% living below the poverty line even with the World Bank rating of a lower middle income country in 2011. Forty percent of Zambian children have stunted growth, while 28% of under-fives die from WASH related diseases. National access to water coverage stands at 61% while sanitation is at 48%. Coverage is lower for rural areas at 57% for water and 43% for sanitation. The socio-economic outlook for Zambia is characterized by widening inequalities brought about by many factors, from limited financing and capacity, to inefficient implementation of policies and programmes. Some public sector reforms, including for WASH that were initiated 25 years ago are still on-going. Over the years, the country has been able to increase access to water and sanitation but failed to reach set targets including the Millennium Development Goals.

With the new global targets the Sustainable Development Goals (SDGs) this Country Programme Strategy (CPS) for WaterAid Zambia that runs from 2016-2021 is well timed as the period of its implementation coincides with the beginning of the SDG's.

This offers a unique opportunity for us and our partners to contribute to achieving important milestones towards the attainment of Zambia's domestic SDG targets on WASH for people living in poverty and those who are marginalized and excluded. The CPS will also be implemented within the framework of the country's Seventh National Development Plan (7NDP 2017-2021), the Rural and Urban Water and Sanitation Programmes (2016-2030). The WAZ CPS is also aligned with WaterAid's Global Strategy (2015-2020) of *Everyone, Everywhere by* 2030. This CPS will be underpinned and benchmarked against the above mentioned key national policy and strategic instruments guiding WASH activities in Zambia building up to Universal access by 2030.

We believe that reaching everyone, everywhere is possible but that this requires significant changes to happen in the way that we and others respond to the challenge of increasing access to WASH. We believe that transformational change is necessary and that change is possible. More importantly, we believe that this change must be driven by the citizens themselves. We believe in and have a strong commitment to equity and inclusion. We recognize access to WASH as a right and not a privilege.

In this strategy, we are changing the way we work. Recognising our limitations in service delivery as a non-governmental organization, we have made the deliberate choice to move from service delivery as an end to service delivery for modelling WASH technologies and approaches that can be replicated and scaled up by government and other stakeholders. We will also support service delivery in circumstances where the survival and development of communities is threatened. We will therefore adopt a Rights Based Approach in our work. We are also committing to more public engagement and campaigning in order to ensure that the changes we seek are people driven.

The goal for this strategy is to contribute towards "*increased access to quality and sustainable Water, Sanitation and Hygiene services particularly for excluded groups through a well-coordinated and effective WASH sector that fulfils the rights of citizens".* This goal will be achieved through the following four Key Change Promises (strategic objectives):

1.   Empower communities to demand accountability and claim their rights to equitable, inclusive and sustainable WASH services.

2. Support the strengthening of WASH sector institutional and legal frameworks and capacities to deliver quality WASH services for all.
3. Support the integration of WASH across key sectors for equitable distribution and efficient utilization of resources for improved access to WASH for all.
4. Raise the profile of hygiene as a public health priority to trigger the adoption of behavioral change as a social norm.

To achieve these commitments, WAZ will need to reposition itself and so the key shifts envisaged with this strategy are: a move from service delivery to modelling services for replication and scaling up; move from needs based approach to WASH to a rights based approach; move from engagement of ad hoc structures at district level to institutional arrangements prescribed under the decentralization framework and to a much more systematic approach; focus on campaigning and public engagement to draw public attention and interest in WASH and broaden partnerships to work with non-traditional WASH partners.

With regards to programmatic approaches, WAZ will focus on the Rights Based Approach, District Wide Approach and Sector Strengthening. These approaches have been decided based on the direction of this new strategy as well as the three core programmes that include: 1: Modelling Alternatives for WASH (MAWASH) 2: Public Influencing and Engagement (PIE) and; 3) Hygiene Matters (HYM).

We aim to be a well organised, highly effective country programme that is able to deliver on the commitments of this strategy. WAZ values its staff as a source of new ideas and a prerequisite for organisational effectiveness and critical in driving the implementation of the strategy. Effective employee engagement will be on top list of priorities of the change management agenda to enable WAZ maximise the contribution of staff to the effective delivery of the strategy.

1. Overview of Zambia

1. Our Political Landscape

Zambia has had a stable political environment for the last 50 years with peaceful transitions from one government to another through democratic elections. Despite this, there have been several political challenges, key among them, the country's inability to develop a people driven national constitution that includes economic and social rights that are justiciable. In its current form, the Constitution does not guarantee people's rights to access basic social services such as water, sanitation ad hygiene. The constitution making process that began in 2011 has so far resulted in significant amendments but the country is yet to adopt an expanded Bill of Rights through a referendum that is now planned to be held alongside the 2016 general elections.

The general elections are expected to take place in August 2016. Most major political party manifestos refer to providing improved WASH as part of their development agenda, as they link WASH to poverty reduction and human development. This provides a good opportunity to hold the party in power accountable for WASH service delivery.

In 2011, the Government introduced an Act to regulate NGO operations and disclose sources of funding. This Act mandates the Minister in-charge to register, de-register or suspend an organization without explanation. Although NGOs in Zambia can register fairly easily, the provisions of the Act has led to a shrinking of political space and may limit engagement of civil society organizations especially those working on governance and human rights in general. This situation is worsened by the arbitrary application of the Public Order Act by the government that limits citizens' participation in national development and governance. Furthermore, the Act limits the free assembly, movement and participation of other political actors which is inimical to the multi-party dispensation that the country has subscribed to. This has led to low levels of rights consciousness by citizens and are thus not able to demand and claim their rights to basic social services, including WASH.

Other challenges worth mentioning in the political and governance landscape include lack of women's participation in decision making at all levels that leads to programmes being developed that are not gender responsive; slow implementation of decentralization policy that leads to poor service delivery by government, lack of separation of powers of the three arms of government – the executive, legislature and judiciary, and high levels of corruption. Sporadic incidences of violence have been recorded over the last 5 years and these have been mainly attributed to the growing tribal and regional biases in voting patterns.

2. Socio-Economic Outlook

Zambia's population can be described as young with 65% of the 14 million people being youths aged less than 25 years. In terms of gender, Zambia has more women (52%) than men (48%). The national level coverage for water and sanitation as reported in Joint

Monitoring Report of 2010 are 61% and 48% respectively. The same report further shows water coverage in urban and rural at 87% and 46% respectively while the sanitation coverage for urban and rural is 57% and 43% respectively showing the inequalities that exist in accessing services between people living in the rural areas and those living in the urban areas. There are still over 3 million people in rural areas without access to safe water and over 4 million people without access to adequate sanitation and slightly less than a million people in urban areas without access to safe water and over 2 million without access to adequate sanitation.

Rapid urbanization (Peri-Urban: where 50-60% of urban poor reside) has led to unplanned settlement patterns resulting in high WASH related disease burden like diarrhea, cholera with WHO estimating 28% of under-five deaths are attributed to poor sanitation and contaminated water. It is estimated that Zambia loses 1.3% of its GDP, or US$194 million annually due to bad sanitation[1] and that the average toilet: pupil ratio is 1:70 as only 29% of schools in Zambia had toilets meeting the recommended standard ratio of 1:40 for boys and only 9% had the ratio of 1:20 in 2011. In addition, adolescent school girls lose about 36 days per year due to absenteeism associated with menstrual issues due to unavailability of girl friendly sanitary facilities in schools. This has reinforced the need to employ an integrated and inclusive approach to WASH interventions to include not only health but the aspect of nutrition as well particularly for schools. HIV/AIDS prevalence rate of about 14.3% still remains a challenge for the country, which has also seen increase in HIV/AIDS related illnesses such as Tuberculosis.

Gender disparity and the social and economic life of the country continues to be a challenge. In education, more boys than girls complete secondary education at a phenomenally high ratio of 2:1. This is higher in rural areas. The same is true for employment as there are very few women in gainful employment. In 2005, out of a total labour force of over 400 000, less than 60 000 were women. Women, however, do provide much of the informal labour in sectors such as agriculture, where they account for over 80% of the labour. Women also account for a high proportion of small market traders and street vendors, often selling merchandise such as vegetables and other foodstuffs.

Gender Based Violence and Violence against Girls remain a great challenge. After a long struggle by the women's movement, Zambia eventually passed the anti-gender based violence bill in 2012. Zambia has a dual legal system, with statutory law and customary law running by side and this in itself further exacerbates incidences of VAW and VAG.

On disability, a 2011 World Health Organisation Report indicates that around 2 million Zambians, or 15% of the population live with a disability. Many people living with disabilities live in rural areas of the country where access to basic services remains a major challenge. Although the country has legislation to support persons living with disability, this is not

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1 WB Report

enforced especially in areas like construction of public infrastructure and schools to ensure they are accessible by all.

With regards to economic performance, in 2011, the country was classified as a lower-middle income country by the World Bank with a Fitch Rating of B+ but dropped to B in 2015 on account of dwindling macro-economic and fiscal outlook. This status has however not translated into tangible benefits for citizens as it has been in reality a disadvantage to the country and affecting mostly the poor. Even with an average per capita income of US $1,006 - $3,975, the impact of this income on poverty reduction has remained minimal. Income distribution has not been equitable with about 78% of the rural population and 28% of urban population living in extreme poverty.

Zambia's improved economic performance is largely attributed due to increased mining activities. Zambia is the second largest producer of copper in Africa, second only to the Democratic Republic of Congo. Zambia is also the world's number one producer of high grade emeralds.

Despite this, the mining sector in Zambia contributes little to poverty alleviation. Although mining accounts for over 70% of the country's foreign earnings, it only contributes about 11% to GDP. This is mainly due to the fact that the country has failed to effectively tax the multinational companies in the mining sector and that tax administration generally remains a challenge that is compounded by external factors such as signing of unfavourable tax treaties that have resulted in the country losing out on tax revenue. Various studies have increasingly demonstrated that countries like Zambia lose colossal amounts of revenue due to illicit financial flows from the continent. There is speculation that Zambia may be losing almost 20 times more than what it receives in foreign aid. There is a growing recognition that Zambia needs to do more to raise tax revenue because tax pays for basic social services such as WASH. Increased tax revenue will contribute to government's ability to provide basic social services for the country. It is also recognised that progressive taxation plays a key role in redistributing national wealth for equitable development.

Inequalities continue to widen with most citizens unable to access basic services, including water and sanitation. As a result of middle income status, Zambia became unattractive to aid and concessional loans leading to reduction or withdrawal of financial support by some cooperating partners to key social sectors including health and education. This status has subsequently led to acquisition of over US $8 Billion debt- representing a debt ratio to the GDP of 52.65% against the internationally accepted standard of 56%. Other factors to this widening poverty gap are attributed to the lack of decentralized systems and lack of clear resource allocation frameworks to support redistribution of the country's wealth. The vastness of the country and the fact that most rural areas are sparsely populated poses a challenge to deliver services and goods efficiently and effectively.

Zambia has been hit by a severe energy crisis that has contributed to the crippling of the economy as it has led to severe loss of productivity across sectors, fuel prices and prices of goods and services including WASH equipment which have all increased drastically by about 100% leading to worsening living conditions for the majority of Zambians (HDI rank: 141 out of 187 countries, 2014). In the last six months of 2015 the Kwacha depreciated by over 50% against major currencies with inflation recorded at 20.8% in January 2016. Projections indicate that these challenges may worsen over the next few years and may take years to reverse. This dire state of affairs has led to dwindling of government investment in social sectors particularly WASH as evidenced by low fund allocation. The 2016 national budget has seen an almost 50% drop from K540 million in FY2015 to K283m in 2016.

The government has since engaged the International Monetary Fund to negotiate a stabilisation programme, but no details have been made available on this. The IMF has noted that Zambia's challenges have in part been exacerbated by lack of fiscal discipline and poor fiscal policies to address the challenges.

In the growing mining and extractive industries sector, environmental issues still remain largely unresolved. Uncontrolled extractive activities have led to contamination of water sources. National budget allocations to environmental protection have remained low. In 2015, only 0.4% of the total budget was allocated to environmental protection. Increased power outages have led to an increase in demand for wood fuel and have further exacerbated environmental damage.

Zambia has not been spared the impacts of climate change that have led to change in rainfall patterns and to drying up of water sources, including significantly reduced water levels in the country's main man-made dam, the Kariba that is the source of electricity.

1.2 The WASH Sector in Zambia

The Zambian government recognises WASH as key to human development as enshrined in national strategies and development plans such as Vision 2030 and the revised sixth national development plan 2013-2016. The WASH sector in Zambia is regulated under the Local Government Act and other related laws. The Water Supply and Sanitation (WSS) Act of 1997 gave birth to the National Water and Sanitation Council (NWASCO) which regulates Water Supply and Sanitation while the Water Resources Management (WRM) Act (which gave birth to the Water Resources Management Authority, WARMA) regulates underground and surface water resources.

While the above mandate for regulating water supply and sanitation services covers all sanitation services at national level, currently NWASCO focuses on only regulating urban and peri-urban areas water supply and sewerage services leaving out on site sanitation; and traditional rural water supply systems remains

Key WASH Sector Policies…
1. National Water Policy (1994)
2. Water and Sanitation Act (1997)
3. Local Government Act (2000)
4. Water Policy (2010)
5. Water Resource Management Act (2011)
6. 2012 WSS policy (draft form)

… And Strategic Frameworks
7. National Rural Water Supply and Sanitation Programmes 2006-2015 (NRWSSP) –
   Targeted to reach by 2015
   Safe Water: to reach 75% rural pop.
   Adequate Sanitation: to reach 60% rural pop.

8. National Urban Water Supply and Sanitation Programme 2011 – 2030 (NUWSSP) - *aimed to reach 80% urban pop.*
   Targeted to reach by 2030
   Safe Water: to reach 80% urban pop.
   Adequate Sanitation: to reach 100% urban pop.

unregulated. In addition, while NWASCO is responsible for WSS regulation, it falls under Ministry of Energy and Water Development (MEWD), a Ministry responsible for WRM and development rather than MLGH which has the WSS mandate. These are areas of conflict between executive and administrative functions that would only normalise if NWASCO operations were streamlined to Ministry of Local Government and Housing (MLGH). Other related legislation include the Environmental Management Act which created the Zambia Environment Management Agency (ZEMA) which regulates pollution and environment.

Further analysis of the WASH sector reveals the following 9 key issues:

1. *Sector Leadership:* The WASH sector in Zambia has suffered from a long leadership vacuum largely due to non-strategic alignment of ministries – the legal and institutional frameworks for WASH remain contentious, inadequate human resource capacity, poor convening capabilities or authority and competing priorities. Progress towards targets, particularly for sanitation have been slow due to slow enactment and implementation sector encompassing policies. Poor sector leadership also blocks innovation and ability to attract resources for WASH service delivery due to inability to fully utilize donor funds

2. *Sector Coordination:* Coordination of the WASH sector in Zambia remains a challenge. There is very weak sector coordination that results in duplication of efforts and wastage of resources. This is because there are two Ministries providing leadership in the sector whose activities are not coordinated. MEWD is the overall in-charge of the water sector while MLGH is responsible for Rural Water Supply and Sanitation services. With weak coordination, decision making is a challenge. There are several coordination platforms in the WASH sector, mostly led by government, a few by NGOs and one by Cooperating Partners (CPs). The main coordination body led by government at national level is the Inter-ministerial Steering Committee. For all sectors, there is a Sector Advisory Group (SAG) that is established and chaired by the relevant line ministry. There is therefore a Water SAG which reports to the inter-ministerial committee. NGOs are coordinated through the Zambia NGO WASH Forum while CPs have their own Donor Coordinating Forum. These platforms provide good opportunities for joint knowledge, information sharing and learning

3. *Sector financing:* Historically, despite water and sanitation being ranked by government amongst key sectors having a direct impact on livelihoods and the economy, WASH has continued to receive low funding allocations. In fact, the 2016 budget sees a 48% reduction in WASH allocation from the K 540, 992,135.00 in the 2015 budget to K283 million in 2016. In addition, over the past two years the government has been releasing less than 40% of resources meant for WASH to the spending agencies further exacerbating the situation. The analysis demonstrates that government funding to the sector has not been able to meet required investments and is not responsive to national and international commitments. It further gives an impression that allocation of funds to the sector is not been guided by an objective resource allocation framework that takes into consideration sector specific requirements and equity. There is also an emphasis on supporting water supply and less emphasis on hygiene and sanitation. Hygiene and sanitation are generally seen to be requiring significant, long term investments in changing behavior while many of the projects on water supply are short term and are

perceived not to require similar investment. There is also a general perception that hygiene and sanitation are by and large personal and cultural preference issues and therefore difficult to address

4. ***Weak institutional capacity at district and sub-district levels to deliver on WASH:*** Weak institutional capacity makes it difficult to reach more users and attract support for WASH. This includes poor infrastructure, inadequate equipment, under staffing, weak implementation of strategies, insufficient access to information and the slow pace of decentralisation. Frequent staff changes at district level partly due to political interference and in large part, due to many staff not willing to serve in non-urban districts leading to perpetual capacity building initiatives for local bodies, leaving little investment for actual implementation. Technical capacities are generally inadequate, as staff are drawn to other more competitive sectors such as mines.

5. ***Citizens` engagement to claim their rights:*** Engagement of citizens is key to increasing coverage of WASH services. Citizen`s non-activism is compounded by inadequate information, community passiveness, limited skills and weak spaces. Limited citizen's engagement restricts people's ability to claim their rights and hold duty bearers accountable.

6. ***Prioritisation of hygiene from policy to practice:*** Although hygiene is mentioned in various policy documents (Health, Education and Nutrition) its implementation remains low. This is attributed to lack of political will as hygiene is primarily seen as personal responsibility rather than a public health issue; skewed focus on curative measures rather than preventive; and poor adherence to health and hygiene standards. The poor adoption of hygiene behaviour and practices are also due to the influence of social and cultural factors as well as absence of WASH facilities. This is compounded by poor packaging and dissemination of hygiene messages. Hygiene is often regarded as a 'common sense' attribute and mostly poor hygiene practices are associated to poverty and this contributes to limited hygiene promotion that can bring about change in behaviour.

7. ***Integration of WASH with other sectors:*** Institutional fragmentation of the WASH sector; weak cross sector collaboration, poor national planning, implementation and monitoring, all contribute to blocking enhanced access to WASH by rights holders. Inadequate integration of WASH with other sectors has been compounded by limited legal framework, weak sector leadership and delayed decentralisation.

8. ***Innovations uptake and scale up:*** Research and development (R&D) in technology especially the development aspect and popularization of technologies has remained very weak leading to poor uptake and scale up. For rural water supply, the India Mark II remains the main technology for water supply, with other technologies such as manually drilled boreholes and solar powered water systems being implemented on pilot basis with little or no buy-in from government. In addition, for rural water, the absence of common standards (for instance for boreholes in different geo-hydro conditions), methods of evaluating technology choices, regulatory oversight and functional M&E systems, hinder optimal WASH service delivery. This makes the efficient and effective management of water supply especially for rural areas, unnecessarily complicated

9.   *Environment degradation:* Water contamination (surface and ground), air pollution and soil degradation are priority concerns for the country as espoused in the Vision 2030 and the national development plans. Ground water depletion, contamination and soil degradation have compromised water quality, which incur high testing costs on a regular basis. Water quality monitoring and testing are therefore becoming critical components of any water supply initiative and so more investment in terms of human resource capacity and finances are required.

10. *High poverty levels.* Although it is obvious that poverty levels have an impact on all aspects of human life, the link between high poverty levels and access to WASH services is often overlooked. For a long time, provision of WASH services was free. With the shift to cost sharing initiatives, this has had an impact on communities' abilities to access WASH services. This has forced many to continue to depend on traditional water sources and traditional sanitation methods. While Zambia has a social cash transfer scheme, this is not universal and does not take into consideration access to services such as WASH as the basis for the scheme. The challenge of increasing access to WASH and sustainability of these services has become an even greater challenge as poverty levels in the country continue to rise and deepen.

1.3 Stakeholders in the WASH Sector in Zambia

There are various key players in the sector that can be classified as: public sector, funding agencies, regulators, collaborating entities, private sector and beneficiaries.

Public sector institutions: These include Ministry of Local Government and Housing, Ministry (MLGH) of Energy and Water Development (MEWD), Ministry of Finance, Ministry of Health, MOCTA, Ministry of Community Development, Mother and Child Health and Ministry of General Education. Key functions of these institutions are provision of policy direction, resource mobilisation and monitoring, though the extent of involvement in WASH varies. MLGH and MEWD are institutionally mandated to spearhead water supply, sanitation and hygiene; water resource development & management respectively.

Funding Agencies: Funding agencies include African Development Bank (AfDB), the European Union (EU), German Development Cooperation (GIZ), Japan International Cooperation Agency (JICA), KfW, United Nations Children's Fund (UNICEF), the World Bank, USAID and DFID are particularly involved in providing finance, capacity development and technical assistance to the sector. Their assistance in capacity development covers policy, legal, institutional, organisational and skills development. Their monetary contribution to the sector in the last five years is estimated at US$ 181 million towards various sector investments. The funders are very influential in the sector and their interests are higher than most stakeholders. Current engagement with WAZ is through the Cooperating Partner Forum mainly for information sharing.

Regulators: The WASH sector is regulated by three key institutions namely; National Water Supply and Sanitation Council (NWASCO), Water Resources Management Agency (WARMA) and Zambia Environmental Management Agency ZEMA). NWASCO regulates the WSS sub-sector and provides advisory support to government, Commercial Utilities and Local Authorities. It establishes and enforces service delivery standards, licensing and information dissemination to consumers. WARMA regulates water resources of Zambia. It addresses issues of water security and allocates water permits to developers to ensure

equitable access to water for all competing needs. ZEMA works with other relevant authorities to develop standards and guidelines relating to the protection of air, land, water and other natural resources, advocates for stakeholder involvement in environmental protection, provides advice on formulation of environment friendly policies. The extent to which WAZ currently works with key regulators in the WASH sector is very low despite their relatively high levels of power and interest.

Other stakeholders: Other stakeholders include collaborating entities, private sector, implementing agencies and beneficiaries. Collaborating entities: WSAG, WASAZA, Cooperating Partners' Forum, media, academic institutions, Zambia NGO WASH Forum and Ministerial Project Coordinating Committees (PCCs), DDCCs and D-WASHE Committees. These provide platforms for information sharing, advisory support and policy dialogue and project implementation.

The private sector's current participation is mainly through provision of consultancy services, development of infrastructure and supply of tools and equipment. Their participation however remains haphazard and fragmented. WASH activities are implemented by various players that include LAs, CUs, NGOs, CBOs such as Artisan Associations, V-WASHE Committees and CSOs. Most of these are involved in service delivery, resource mobilization and providing technical support to communities.

Our Response

2.   Our Strategic Positioning

WAZ has played, and will continue to play, a pivotal role in influencing the WASH sector in Zambia and is recognized as a credible actor. WAZ has gained a lot credibility on complementing government service delivery and improving people's access to WASH services. We have been known over the years as capacity builder of partners including local authorities in the areas of financing, planning, monitoring and reporting on WASH services. WAZ is also well known for pioneering work on **equity and inclusion** in WASH in Zambia and has piloted with great success, initiatives such as **Self Supply** and **Manual Drilling methodologies**.

Over the next five years, we will build on this credibility to leverage our work and to position WAZ as *'A leading organization influencing and facilitating transformational change for enhanced access to WASH services in Zambia'*. This will be accomplished through two distinct niches:

i.   "*To be known as key Influencer in the WASH sector*"- WAZ will re-invigorate and focus more attention on public engagement and campaigning by mobilising supporters particularly the youth to draw attention and trigger debates and transform the WASH agenda to achieve greater responsiveness from duty bearers. Our key roles in this process of transformation will be to facilitate, motivate and influence others, to challenge (and to be challenged) to support and to mobilize others to lead the change.

ii.   "To be known as innovators and custodian of modelling services"- WAZ will move away from using service delivery as an end in itself to a situation where we can partner with other actors to innovate and model WASH technologies and approaches for replication and scaling up of sustainable WASH services.

We believe that change is possible, that we can transform the water sector in Zambia to ensure that everyone, everywhere has access to quality and sustainable water, sanitation and hygiene services.

To play the above key roles and address the blockages identified above, WAZ has agreed on a transformational change goal that will see our country programme contribute to over the next five years is *'increased access to quality and sustainable Water, Sanitation and Hygiene services particularly for excluded groups through a well-coordinated and effective WASH sector that fulfils the rights of citizens'*

2.1   Our Theory of change

The ones who are crazy enough to think they can change the world are the ones who do ~ Anonymous

Our Theory of Change is based on the strong belief that access to water, sanitation and hygiene services by all is vital as this significantly contributes to improved quality of life and productive capacities of citizens and can therefore contribute to the development and growth of the country. WaterAid also believes that everyone, everywhere in Zambia can enjoy the right to access quality water, sanitation and hygiene services.
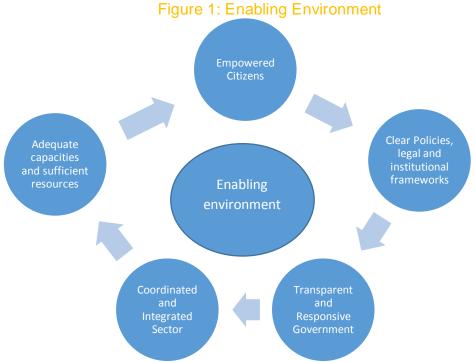
To achieve this, however, requires a **systematic response** and **long term commitment** to address the key blockages to WASH access. It also requires working with multiple partners and stakeholders. More importantly, it requires the **active urgency** of people excluded from accessing WASH to take a lead in making this happen.

We therefore believe that transformative changes we seek will happen when communities are **empowered** to **demand accountability and rights to WASH services.** We have seen how over the years, communities have been subjected to the benevolence of political class and increasingly of both local and multinational companies in delivery of social services, especially access to water. With each election, political class and government make promises to citizens that are quickly forgotten once they assume office. Empowerment of communities is therefore vital to ensure that they hold leaders accountable for delivery of basic social services.

Another pre-requisite for this change to happen is when government is **transparent** and **responsive to citizens' demands; policies, legal and institutional frameworks** are revised and sustainable **WASH models** are adopted by government and other stakeholders. This is perhaps the biggest blockage to increasing access to WASH. It will require us to use our influencing role to compel government to take **leadership** of the sector to resolve once and for all the legal, institutional and policy challenges the sector faces.

Finally, we believe that change will happen when **capacities** of duty bearers and stakeholders are enhanced and the sector is **well coordinated** and when there is effective

integration with other sectors that will greatly reduce duplication and fragmentation of efforts and resources optimally utilized.

Figure 1: Enabling Environment

3. Our Key Change Promises to transform delivery of WASH services

The goal for WAZ Country Program Strategy in the next five years is to achieve "*increased access to quality and sustainable Water, Sanitation and Hygiene services particularly for excluded groups through a well-coordinated and effective WASH sector that fulfils the rights of citizens".* To achieve this goal, WAZ has committed to deliver on four Key Change Promises - KCPs (objectives) that will be pursued over the next five years. These change promises are commitments that we make to ourselves, the communities we serve and those who support us to deliver on the change we desire.

Key Change Promise 1: Empower communities to demand accountability and claim their rights to equitable, inclusive and sustainable WASH services by 2021
We will mobilize communities, build their capacity to demand accountability and claim their rights and will support the creation of platforms for rights holders to engage with duty bearers. We will also empower communities to use tools to track delivery and ensure services are inclusive and gender responsive. To promote active participation of citizens at all levels WAZ will focus on developing a supporter base for its campaign work which is a major shift in the

way WaterAid Zambia works. We will work to address challenges that hinder citizen participation such as lack of information and low literacy levels by pushing for the creation of platforms for citizens engagement with key duty bearers and incorporating literacy programmes such as REFLECT in capacity building initiatives for communities. We will empower communities to advocate for the domestication of relevant instruments that provide of basic rights and monitor their implementation, including implementation of national plans on WASH and goal #6 of the SDGs. Our actions will enhance community voices not only on WASH but other basic social services. A key pillar of this objective will focus on enhancing **equity** and **inclusion** in WASH service delivery.

We will maximize the use of social media and other creative media platforms to mobilise and reach out to more young people. We will work with existing youth groups and networks, nurture new other groups where they are non-existent, particularly in outlying districts.

Key Change Promise 2: Support the strengthening of WASH sector institutional and legal frameworks and capacities to deliver quality WASH services for all by 2021.

WAZ will work with others to influence government to review, adopt and implement policies that have been developed but not being implemented. WaterAid will partner with other advocacy institutions that have been successful in pushing for policy and legislative changes in other sectors. We will model technologies and approaches; use evidence from this to influence government and other stakeholders to adopt these for enhanced WASH coverage. We will focus on supporting capacity development at the local level and influencing government to ensure that support is provided to local level structures for institutionalized capacity building. This includes building capacities of community structures and ensuring that these are institutionalized to ensure sustainability. We will also support capacity building of young people, internships, apprenticeships with commercial utilities and other private sector service providers to enhance human resource in the WASH sector.

Key Change Promise 3: Support the integrated planning and implementation of WASH across sectors for equitable and inclusive WASH serves for all by 2021.

WAZ will work with other actors to improve the way planning is undertaken. Our work on integration will thus focus on pushing for integrated planning particularly in the annual national budgeting process and pushing for equitable distribution of resources to key social sectors such as WASH and geographic locations such as remote rural areas where access to basic social services remains a challenge. We will focus on undertaking thorough and compelling research to inform our advocacy work on resource distribution and utilization. We have, over the years, been undertaking sector specific budget tracking and advocacy for increased financing to the sector, but this has not yielded significant results. We will thus work with non-traditional partners with more experience in public sector financing work and we will ensure that our advocacy work is rooted and based on experiences of communities that face challenges in accessing WASH.

A key milestone is to push for the country to adopt a comprehensive national resource allocation framework that will not only ensure equity in distribution of national resources, but for the WASH sector, it will also significantly contribute to delivery of inclusive WASH services. We will work with other organizations and coalitions working on Tax Justice to push for a more robust tax system to ensure effective revenue collection and equitable

distribution of these revenues. We will work to demonstrate an explicit link between tax and WASH as tax revenue pays for public services such as WASH, education and health.

Our work on integration will also focus on fostering linkages with other sectors to support work in areas such as nutrition, maternal and child health, education, social protection, climate change adaptation programmes and livelihoods as these have a direct impact on WASH and access to WASH.

Key Change Promise 4: Raise the profile of hygiene as a public health priority to trigger the adoption of behavioral change as a social norm by all by 2021

WAZ will work with other actors to improve and sustain hygiene behavior change including researching and challenging cultural practices that undermine adoption of hygiene behavior change in communities. To address this we will work at two levels – at national level to ensure that hygiene is recognized as a public health priority with reasonable investment in areas such as hygiene behavior change communication and legislative review, policy development and implementation; and at community level, we will model hygiene behavior change communication to trigger social norms that reinforce good hygiene behavior. We will also mobilize and work with young people as agents of change.

Table 1: **Key Change Promises**

Key Change Promises	Contribution to Global Aims statements	Performance measures	
Goal:			
Increased access to quality and sustainable Water, Sanitation and Hygiene services particularly for excluded groups through a well-coordinated and effective WASH sector that fulfils the rights of citizens.	Contribute to the WA Global vision of '*A world where everyone, everywhere has safe water, sanitation and hygiene'*	1.	Evidence of the incorporation of human rights standards and principles into sector systems and processes
		2.	Evidence of promotion of human rights standards and principles for service delivery
		3.	Proportion of population with access to WASH
		4.	Increased allocation of funds to WASH
Key Change Promises			
1. Empower communities to demand accountability and claim their rights to equitable, inclusive and sustainable WASH services by 2021	Contribute to WA Global Aim on "*reducing inequalities that prevent the excluded from realizing their right to safe water, sanitation and hygiene services*"	1.	Evidence of change in the use of procedures for WASH-related requests and complaints by duty bearers and rights holders.
		2.	Evidence of changes in the role CSOs and NGOs play in facilitating the empowerment of citizens to claim their rights
		3.	Change in knowledge, attitude and practice of importance of WASH by duty bearers and rights holders.

Key Change Promises	Contribution to Global Aims statements	Performance measures	
2. Support the strengthening of WASH sector institutional and legal frameworks and capacities to deliver quality WASH services for all by 2021.	Contribute to WA Global Aim on Strengthen Sustainable Services with focus on supporting government and service providers to strengthen systems and capabilities required to deliver sustainable Water, Sanitation and Hygiene.	**1.**	1. Evidence of availability and use of capacity development frameworks.
		2.	2. Evidence of incorporation of human rights standard of WASH and principles into sector systems and processes
		3.	The number and nature of tested models that are adopted and scaled up by WASH sector
		4.	Evidence of unified sector plans and performance frameworks
3. Support integrated planning and implementation of WASH across sectors for equitable and inclusive WASH serves for all by 2021.	Contribute to WA Global Aim on integration of sustainable development focusing on the need to work with others to develop plans and activities that integrate WASH to accelerate change	**1.**	Evidence of change in the joint planning, monitoring and evaluation of WASH interventions
		2.	% of national and district budget allocated to WASH across relevant sectors
		3.	Evidence of that reflects the development and adoption of financial models that ensure the provision of sustainable affordable WASH services for the poorest, hard to reach and excluded groups and individuals.
		4.	Changes in Government's absorption capacity of funding available for WASH
4. Raise the profile of hygiene as a public health priority to trigger the adoption of behavioral change as a social norm by all by 2021	Contributes to WA Global Aim on Improving Hygiene Behaviours to maximise the benefits of access to Water and Sanitation.	**1.**	Evidence of cross sector policies giving prominence to hygiene.
		2.	Evidence of development and use of the National Hygiene Strategy and plans.
		3.	Evidence of increased proportion of budget allocated to hygiene programmes.
		4.	Incidence of WASH related diseases.
		5.	Level of investment in hygiene at community level.

6. Our Key Shifts

Achieving the goal and objectives will require key shifts in the way we currently operate. The key shifts that will characterise the WAZ programme over the next five years are summarised below.

1. We will move from using service delivery as an end in itself to a means to model WASH technologies and approaches for replication and scaling up.
2. We will move from needs to rights based approach to mobilise and organise communities to demand their right to WASH and accountability from duty bearers.
3. We will move from supporting ad-hoc structures (at district level) that are not legally recognized and backed by institutional framework at sub-district and community level to systemic approach based on the national decentralization framework and will also advocate for institutionalization of community based structure for sustainability purposes.
4. We will start focusing on public engagement, advocacy and campaigning by mobilising supporters particularly youths to draw attention to specific issues such as hygiene to trigger responsiveness from duty bearers.
5. We will broaden and establish strategic partnerships to include non-traditional WASH partners. This is because we will also adopt a broader development approach rather than exclusive focus on WASH.

5. Our Programmatic Approach

The Zambian Country Programme comprise three main programs: 1) **Modelling WASH Service delivery alternatives** aimed at demonstrating cost effective, sustainable and participatory ways of delivering WASH services particularly in communities with high levels of poverty, difficult terrain and generally poor sanitation and hygiene practices. 2) **Public Influencing and Engagement (PIE)** aimed at empowering communities to demand their rights to WASH and influencing government and other stakeholders to prioritise WASH 3) **Hygiene Matters (HYM)** aimed at raising the profile of hygiene as an important public health priority.

5.1   Modelling Alternatives WASH (MAWASH)

Under this programme, WAZ working with other actors, will focus on modelling and demonstrating best practices on delivering WASH services. This will include a clear focus and strategy on researching water and sanitation technological options and practices. This will require WAZ to work with other organisations that have expertise in technological options, but will also rely on traditional knowledge to enhance, demonstrate and test alternatives.

Under this programme, WAZ will further explore and possibly consolidate its work on Self Supply and Manual Drilling methodologies.

The programme will also focus on improving quality of services, championing methodologies for quality monitoring, development and enforcement of quality standards by relevant bodies. The programme will aim at supporting the development of a comprehensive national M&E framework for WASH.

Another key component of this programme will be focussing on sustainability, operation of maintenance of WASH facilities. Ensuring that communities play a key role in operation, maintenance and sustainability of WASH facilities will be a priority and WAZ will aim to develop expertise at community level to support sustainability of WASH services. Related to this, WAZ will work on analysing WASH values chains to identify areas that may need to be addressed in order to contribute effectively to sustainability of WASH services. Value Chain Analysis will also be utilised to identify possibilities of supporting any work on sanitation marketing

This programme will focus on developing participatory tools and models for WASH and ensuring that staff, partners have adequate capacity to utilise these tools for effective community mobilisation and supporter engagement.

5.2   Public Engagement and Influencing (PIE)

This programme will mainly focus on advancing WASH as a human right. Under this programme, WAZ will work to mobilise, organize and empower communities to demand rights to WASH. WAZ will also aim to mobilise supporters from ordinary citizens to other sectors to build support for prioritization and recognition of WASH as a right. This programme will support the campaigning work of WAZ. Over the period of this strategy, WAZ will aim to implement at least 2-3 key campaign priorities that will advance its country strategy objectives.

Another key aspect of this programme will be a focus on supporting full decentralization to ensure that service delivery is as close as possible to the communities and that local authorities take full responsibility for delivery of WASH services. The work will also focus on supporting the strengthening of community structures and platforms to push for, support and monitor delivery of WASH services at community level.

This programme will also focus on public financing of WASH, and under this area, the programme will integrate a focus on tax justice to push for enhanced revenue collection, equitable distribution and accountability in utilization of public resources.

The work on integration will also be anchored under this programme as it will also focus on supporting integrated planning through key processes such as national planning and budgeting processes. The programme will undertake advocacy initiatives cutting across all programmes, focusing on integration with health, education and nutrition and using Healthy Start as a tool and entry point for WAZ's advocacy work

Sector coordination and cross sector coordination will also be covered under this programme. Specifically, the programme will contribute to supporting the effective functioning of the NGO WASH forum and linkages with other stakeholders and platforms.

Another key component of this programme is knowledge management, documentation and communication. The programme will support learning within WAZ and with partners and other stakeholders, will support knowledge management and documentation within WAZ and contribute to the WASH sector and to other relevant sectors. Engagement with media and use of other media will be key in the delivery of this programme. WAZ will over the strategy period work on developing a vibrant, user friendly knowledge knowledge hub that will be accessible to all stakeholders.

5.3   Hygiene Matters (HYM)

This Programme is aimed at raising hygiene as a public health priority. Through this program WAZ will champion and raise the profile of hygiene and advocate for prioritization of hygiene in policies, strategies and practices.

WAZ will also focus on integration of hygiene in other sectors and will therefore use Healthy Start as an entry point.

WAZ will mobilize and work with young people as agents of change to support behavior change awareness initiatives on hygiene.

Programmatic Approaches

WAZ will employ a blend of core and impact level approaches and service delivery models to implement the Country Program Strategy. At strategic level, the main approaches that will be used are: Rights Based; District Wide and Sector Strengthening.

5.4 Rights Based Approach: WAZ recognizes that access to WASH in Zambia has been hindered by the fact that it is not recognized as a right. In fact, the practice by government and politicians is to deliver these services as benevolence to communities and thus communities remain indebted to these leaders and do not hold them accountable. WAZ will therefore focus on mobilizing, organizing and empowering communities to demand accountability from duty bearers and to claim their rights to WASH. We will also focus on supporting duty bearers to be more responsive to citizens. This will require as and our partners to be bold and courageous, to stand in solidarity with communities as they demand fulfilment of their rights and to work with and support human rights defenders who will lead this work.

To use this approach properly, WAZ will need to: 1) understand the underlying causes of people's inability to access WASH services; 2) undertake thorough power analysis in order to shift power to communities to claim their rights; 3) undertake thorough gender, equity and inclusion analysis to inform demands for rights to WASH; 4) work with duty bearers to strengthen their capacity to overcome these barriers and fulfil their obligations to all rights holders; and 5) apply the human rights principles of participation, non-discrimination, transparency and accountability.
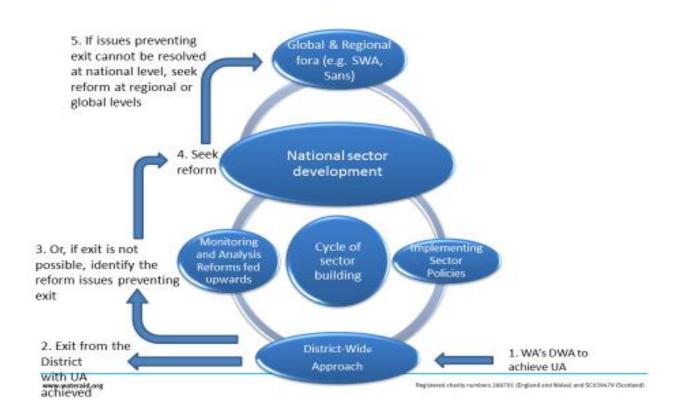
5.5 District Wide Approach: WAZ will use the District Wide Approach (DWA) in implementing activities related sector strengthening, coordination and integration. Using this approach, we will partner with district councils through the Ministry of Local Government and

Housing to prioritize WASH and bring about change. The District Wide Approach places emphasis on *"One district at a Time"* and is built on the premise that the approach deepens and focuses support to local governments or municipal authorities and other stakeholders to provide equitable and inclusive water and sanitation services.

Through this approach we will demonstrate how the interaction of good practices, sound policies and enabling context can be taken to scale; giving a practical demonstration of the three critical components of a strengthened sector, i.e**.** *effective targeting, efficient service delivery and sustainable services.* DWA will be used together with Sector strengthening.

5.6 Sector Strengthening: Focuses on *Policy/Strategy, Sector Coordination, Sector financing, Institutional arrangements, Performance, Monitoring* strengthening. WASH sector systems is vital in order to ensure governments and other service providers have the capability to deliver sustainable WASH services that leave no one behind. Sector strengthening methodology will be used to address issues related to poor sector performance and integration as it will assist in developing a broad understanding of the weakest sector building blocks, which pose the biggest blockage as far as improvement of sector performance is concerned (see diagram below).

Figure 2: Sector Strengthening Cycle

Outcomes from this process will be used in the continuous analysis of the local and national policy/capacity context as part of sector building cycle. WAZ will facilitate focused analysis of sector issues at various levels and their impact on WASH from a multi-dimensional point of view and work with local authorities and municipalities to address the challenges identified.

6. Where we will work

Our goal is to contribute to reaching everyone, everywhere, however, this does not imply working in every district of the country. Based on the shifts we have made in the way we will deliver our programme. We have developed a criteria which will guide entry and exit from specific geographic locations. For entry into new areas, the criteria includes: 1) high level of poverty; 2) low WASH service coverage; 3) high incidence of WASH related diseases and poor indicators for maternal and child health and 4) presence or absence of elements that complements WASH interventions. Both current operational areas and new ones will be subjected to the criteria. For exit, WAZ will follow clear exit strategy which will be part of program/project design. To this effect, we will ensure that each area that we work in as developed a clear strategic plan for the partnership with WAZ.

WAZ has been working in some districts since its inception in Zambia in 1996. We will evaluate the programmes in such districts to determine whether to continue working in these districts. We are also committed to undertaking urban work over the strategy period and will therefore devise a specific urban strategy to guide our interventions in urban areas.

There are areas where WAZ has provided support but this support has not been logically concluded. We will revisit these areas to ensure a logical conclusion to all programme work.

We also aim to consolidate work in existing districts that we will act as flag ship districts for our modelling work on initiatives such as self-supply and manual drilling.

For this strategy, it is envisaged that WAZ will continue to work in distance remote districts as the majority of these are most likely to meet the selection criteria for geographic location. Because of the distances to these districts and the need to provide support to partners and communities to ensure good programme quality, we will ensure that we either have a physical presence or partner with others in these locations to ensure ease of monitoring our work on the ground.

Over this strategy period, WAZ will **exit 2 districts** that meet the exit criteria and will plan to develop new programmes in 2 other districts. This will be done in phased manner with phase out of one district in the first 2 years of the strategy and the other in the last 2 years.

WAZ will **develop new programmes in two new** districts, **one rural** and **one urban,** with the urban work predominantly implemented in peri-urban sites. WAZ has over the years had ambitions of working in urban areas but urban work has been by and large piecemeal. As the focus of this strategy is on influencing and modelling, urban work provides an opportunity to model urban WASH and to influence prioritization of peri-urban WASH if the WA's overall goal of everyone, everywhere is to be achieved.

WAZ will ordinarily exit a geographical location after a period not exceeding two strategy periods (*see Appendix 3*).

7. Who we will work with

7.1   Partnerships and alliances: We will continue to work in partnership to deliver our programme. We will nurture relationships with others and explore collaborations that add value to our work. We will also strengthen the long-term capacity and sustainability of WASH our partners. We will develop a comprehensive partnership framework that will guide partner selection, engagement and support.

In order to achieve meaningful impact with our influencing work, we will work with non-traditional partners, particularly coalitions and networks in order to have a greater voice in

national development discourse. We will also identify partners that can support our research work and technological innovation; partners that will support capacity building and media partners to enhance communication.

7.2   Involvement of the Youth and Young People in hygiene promotion: As we have already highlighted, Zambia has a youthful population. With high levels of an employment, many young people are disaffected and therefore engage in negative vices. Young people are also easily swayed in political campaigns, and increasingly involved in violence. Young people's energy can, however, be harnessed positively to fight for water rights. Young people are often good change agents. We will therefore work with young people as agents of change, particularly in hygiene promotion, advocacy and campaigning.

8. What success will look like and how it will be measured

The success measurement framework has been developed with clear outcomes, outputs and performance measurements *(see Appendix 1).* This success measurement framework will be implemented through a well-articulated Monitoring and Evaluation Plan that will outline information needs, responsibilities and timeframes that should guide the Country Programme to measure progress and achievements against our strategic objectives. The Monitoring and Evaluation Plan will also be anchored on the Project Management and Information System (PMIS) that should deliver a reliable and accessible electronic data management system. Various pieces of Monitoring and Evaluation will take place at different levels of the Country Programme. At programme level, there will be specific logical frameworks with specific programme monitoring and evaluation plans that will be used to track programme performance based on standardized timelines, processes, templates and guidelines.

At Country Programme level, performance monitoring and review processes will include output verifications, quarterly reporting, six months and annual reporting. The baseline survey will be conducted as a benchmark upon which success will be measured at the beginning of the strategy. The Post Implementation Monitoring Surveys (PIMS), mid-term progress review and end of strategy evaluation to assess the Country Programme progress and outcomes (impact) will be conducted. These processes will ensure WAZ not accountable only to donors, but to the communities WAZ works with and to stakeholders like the Government of Zambia, partners and people in the communities. All these stakeholders will have full participation in programme reviews and evaluation.

The information generated by the success measurement framework through Monitoring and Evaluation will help motivate for creation, dissemination and application of technologies through embedding knowledge into organizational processes that continuously improve

practices and behaviours and pursue the achievement of strategic objectives. It is within this perspective that WAZ learning, testing or experimenting and modelling to scale of its innovations will sustainably improve the utilization of knowledge as a catalyst for change.

A key aspect of programme performance will be to ensure and assure programme quality and impact at scale.

9. Resource and Organisational Development Plan

We aim to be a well organised, highly effective country programme that is able to deliver on the commitments of this strategy. WAZ values its staff as a source of new ideas and a prerequisite for organisational effectiveness and critical in driving the implementation of the strategy. Effective employee engagement will be on top list of priorities of the change management agenda to enable WAZ maximise the contribution of staff to the effective delivery of the strategy.

9.1 Organisational Structure

The current organizational structure will be revised in order to have a structure that is fit for purpose. This will be done by re-aligning job functions to deliver the new strategy and drive the change that is needed. The current structure will be transformed to address the challenges of the new strategy by ensuring 1) Proper coordination of functions in accordance with the programmatic approach; 2) Smooth communication; 3) Appropriate decision-making mechanisms at all levels; 4) Inter-departmental synergy and optimization of team performance management. 5) Programme quality

9.2 Staff capacity

The contextual analysis, key strategic shifts and strategic objectives will form the basis for assessing the skills requirements. We will diagnose the current staff capacity and skills required at all level and identify different areas which need to be developed and also how best to obtain the skills and knowledge needed beyond just traditional methods of recruitment. WAZ will undertake in-house staff development initiatives to improve the existing skills and knowledge. We will optimize use of WaterAid global training programmes, engagement in various on-line development programmes.Specific focus will be placed on development of capacity in technical and behavioural competencies to position ourselves to deliver the strategy.

WAZ commits to supporting women's rights in the organization and will undertake initiatives to support this within the organization through women's leadership development, mentoring,

coaching and creation of spaces for staff to express their specific challenges and support needs.

9.3 Programme leadership

We will continue to develop and strengthen managerial and leadership capabilities at all levels to drive the implementation of the strategy. The management team of WAZ commits to modelling values based leadership, to providing relevant support and guidance and to ensuring that the country programme has vibrant and effective teams. Specific attention will be given to strengthening SMT functioning to ensure the leadership effectively work together in the implementation of the new strategy. Consistent performance based on new expectations will be strengthened to ensure that line managers set clear expectations, but more importantly give clear feedback about performance and hold their teams accountable, as well as support their teams to learn and to improve performance.

9.4 Staff Engagement

WAZ will continue to engage in constant communication with staff and improve mechanisms for staff engagement and participation, to ensure that key engagement issues, as identified in the Global Employee Engagement Surveys (GEES) are addressed and show an improvement in subsequent surveys. We will encourage cross functional working and joint planning & review sessions in order to promote integration of our work, coordination, team work and inclusive working.

10. Funding and Finance

In the next strategy, WAZ budget is expected to grow at a steady rate. This is assuming that all economic factors will have stabilized. The budget for the 5 years is expected to be as follows:
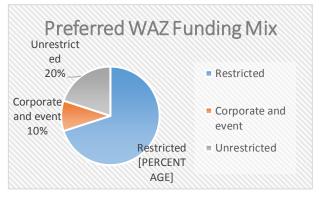
Table 2: Country Budget and Growth

Case Scenario	2016/17	2017/18	2018/19	2019/20	2020/21
	K'000	K'000	K'000	K'000	K'000
Lower Case Scenario	35,870	42,783	45,396	51,778	59,247
Higher Case Scenario	44,813	49,875	56,157	62,801	65,388

WAZ will seek to create a balanced and diverse mix of different income streams that will enable it to be sustainable and reduce over dependence on unrestricted income. To this end, we will increase our efforts in pursuing diverse sources of funding. WAZ will strengthen relationships with existing and potential donors by building its capacity to deliver quality projects and programmes, building its profile and visibility in order to become the number one choice for support by donors. This will replace the burden placed on unrestricted funding in the long term and will steadily decrease its share.

In order to diversify income, we will mainly focus our efforts towards institutional donors to cover at least 80% of our income 20% of which will be locally raised. Institutional donors that will be targeted will include governmental and inter-governmental organizations, private foundations including other grant-giving non-governmental organizations (NGO) whose thematic priorities are in line with those of WAZ and are suitable for effective programme delivery. We will also seek to acquire multi-year grants where possible for stable income.

Additionally, we will focus our fundraising efforts and explore corporate fundraising however, these streams are only expected to constitute about

Preferred WAZ Funding Mix

- Restricted
- Corporate and event
- Unrestricted

Unrestricted 20%

Corporate and event 10%

Restricted [PERCENTAGE]

10% of the income. To ensure that fundraising from such sources does not conflict with the work of other NGOs and Civil Society in and outside the sector, the CP will devise a clear corporate engagement strategy. By diversifying the donor base, WAZ will be able to access additional funding to minimize gaps in its funding and, just as significantly attract, a growing and increasingly committed donor community to fund its programmes. To achieve this, we will improve internal organization and capacities toward fundraising. WAZ will further improve its efforts towards increasing in-country fundraising. The efforts include the development of a fundraising strategy, regular donor scoping and intelligence and a donor map that predominantly identifies in-country grant opportunities and provides a deep understanding of the priorities of the donors' policies, funding cycles and geo-politics. This will also include assessment and implementation of mass participation events to contribute to the growth of its income. In addition, capacity building in project and grants management will be conducted for key staff including development of project management tools to improve the delivery of grants and projects.

Finance

Optimal utilization of resources will be the cornerstone of finance. We will focus on ensuring value for money in all our activities. We will ensure high levels of both upwards and downwards accountability. We will eliminate risk of fraud, misuse or misappropriation of resources by ensuring a strong control environment, policies and systems. Both internal and external audit measures will be enhanced over the strategy period.

Appendices
1. *Log-frame, your one-stop reference that covers the entire strategy – purpose (strategic intent) strategic objectives and your measures of success*
2. *Risk management plan*
3. *Criteria for selection of geographical location*
4. *Summary of reflection and learning that has informed the new strategy*

Appendix 1. Logical framework

	Country Programme description	Performance measures	Sources and means of verification	Assumptions	Linkages and contributions
Strategic Purpose Statements	<u>**CP Goal:**</u> Increased access to quality and sustainable Water, Sanitation and Hygiene services particularly for excluded groups through a well-coordinated and effective WASH sector that fulfils the rights of citizens.	• Evidence of domestication of international rights standards and principles into sector systems and processes • Reduction in cultural practices that negate access to WASH • Proportion of marginalised people with access to WASH • Increased allocation of funds to WASH • Improved coordination at sector level	• Sector monitoring and evaluation reports • National Census reports • Health and Demographic surveys & Reports • Joint Program Monitoring Reports • Living Conditions and Monitoring Survey Reports	All programmes will be implemented to the highest standards in relation to natural resources (water quantity and quality), technology (hardware) and social/institutional (software) aspects; using scalable interventions such as small town piped water schemes, manual drilling, self-supply and sanitation marketing service delivery models and approaches. WASH players will work in an integrated manner, coordinating their efforts through integrated planning and joint sector monitoring of critical WASH indicators to minimize	The goal will contribute to the WA Global vision of 'A world where everyone, everywhere has safe water, sanitation and hygiene' and SDG goal number 6 addressing issues of water and sanitation. At the national level, the goal will contribute to vision 2030 and the seventh National Development plan.

					the impact of negative legislations.	
Strategic Objectives	**Purposes (Outcomes):** 1. Communities empowered and demanding accountability and claiming their rights to equitable, inclusive and sustainable WASH services 2. WASH sector institutional and legal frameworks and capacities strengthened to deliver quality WASH services; 3. WASH integrated across key sectors for equitable distribution and efficient utilisation of resources 4. Hygiene profile raised as a public health priority and behavioral change adopted as a social norm.					
	Expected Results (Outputs)	**Performance measures**	**Sources and means of verification**	**Assumptions**	**Linkages and contributions**	
SO 1. Communities empowered and demanding accountability and claiming their rights to equitable, inclusive and sustainable WASH services						
Outputs	1.1 Enhanced capacity of communities to demand accountability and claim their rights to WASH 1.2 CSO interest, participation and capacity in WASH strengthened. 1.3 Duty bearers respond and engage rights holders *1.4* Research that empowers communities and inform advocacy undertaken and supported. 1.5 Platforms and spaces for engagement and advocacy created	• Evidence of change in procedures for WASH-related requests and complaints by duty bearers and rights holders • Evidence of change in the use of procedures for WASH-related requests and complaints by duty bearers and rights holders • Evidence of changes in the role CBOs and NGOs play in facilitating the empowerment of citizens to claim their	• Sector monitoring and evaluation reports • Joint Monitoring Reports	Community's willingness to demand and claim their rights. Effective partnerships with CSOs and local authorities established. Increased space of CSO engagements and influence in WASH.	This objective will contribute to WA Global Aim on "reducing inequalities" that prevent the excluded from realizing their right to safe water, sanitation and hygiene services	

		Performance measures	Sources and means of verification	Assumptions	Linkages and contributions
	1.6 Citizens' awareness on their rights to WASH raised;	rights • Change in knowledge, attitudes and practises of importance of WASH by rights holders (communities and households)			
	Expected Results (Outputs)	**Performance measures**	**Sources and means of verification**	**Assumptions**	**Linkages and contributions**
SO 2. WASH sector institutional and legal frameworks and capacities strengthened to deliver quality WASH services					
Outputs	2.1 Capacity development frameworks and mechanisms formulated and established to enhance WASH sector capacities at all levels 2.2 Rights holders and duty bearers aware of their roles and responsibilities. 2.3 Clear/effective institutional and legal frameworks and structures formulated 2.4 Increased adoption of WASH service delivery options and approaches 2.5 Increased coordination of WASH sector players	• Evidence of capacity building programmes designed and in use. • Change in knowledge, attitudes and practises of importance of WASH by duty bearers • The number and nature of tested models that are adopted and scaled up by WASH sector • Evidence of unified sector plans and performance frameworks	• Sector plans; • Joint monitoring and Review reports; • Intervention evaluation reports;	Government will provide leadership for strengthening the sector. Effective partnerships with CSOs, national government and local authority stakeholders established.	*This will contribute to WA Global Aim on Sustainability and Integration.*

		• Change in knowledge, attitudes and practises of importance of WASH by duty bearers			
	Expected Results (Outputs)	**Performance measures**	**Sources and means of verification**	**Assumptions**	**Linkages and contributions**
SO 3. WASH integrated across key sectors for equitable distribution and efficient utilisation of resources					
Outputs	3.1 Mechanisms for integrated planning, budgeting and monitoring established and supported. 3.2 Mechanisms and systems for cross sector learning, knowledge management and information sharing established and supported. 3.3 Investment in WASH increased 3.4 Capacity for optimal utilisation of WASH resources strengthened 3.5 WASH integrated in maternal, neonatal, child health and nutrition.	• Evidence of change in the joint planning, monitoring and evaluation of WASH interventions • % of national and district budget allocated to WASH across relevant sectors • Evidence of change that reflects development and adoption of financial models that ensure the provision of sustainable affordable WASH services for the poorest, hard to reach and excluded groups and individuals. • Changes in Government's absorption capacity of funding available for WASH	• Sector Plans; • Joint Monitoring and Review Reports; • Intervention Evaluation reports; • Revised WASH policies and strategies • National budget (Yellow book and speech) • Auditor Generals reports • Council annual budget • Audit reports • Post budget implementation report	There will willingness for WASH sector players to integrate in bringing change Decentralisation process will progress and be finalised	Will contribute to WA Global Aim on integration and sustainability focusing on the need to work with others to develop plans and activities that integrate WASH to accelerate change

	Expected Results (Outputs)	Performance measures	Sources and means of verification	Assumptions	Linkages and contributions
SO 4. Hygiene profile raised as a public health priority and behavioral change adopted as a social norm.					
Outputs	4.1 Policies, frameworks and legislation in place for promotion of hygiene as a public health priority 4.2 Communities adopt hygiene as a social norm. 4.3 Increased adoption of diverse hygiene technology options. 4.4 Hygiene prioritised in the key sector (education, health, agriculture) budgets and plans.	• Change in cross sector policies giving prominence to hygiene. • Change in development and use of the National Hygiene Strategy and plans. • Evidence of increased proportion of budget allocated to hygiene programmes. • Incidence of WASH related diseases. • Level of investment in hygiene at community level.	• Cross sector policy documents; • National Hygiene Strategy document; • National budget. • National Development Plans • Sector Monitoring and Evaluation Reports; • Central Statistical Office Survey reports;	Willingness by people to adopt good hygiene practices; Myths and misconceptions about hygiene demystified. Hygiene prioritised and adequately resourced.	

Appendix 2: Risk Management Plan

Risk	Impact	Likelihood	Impact	Mitigation action
Political & Legal Environment				
Political instability & interference	Political instability –local/regional international leading to civil unrest. The political situation will be unpredictable, particularly due to the upcoming elections this August 2016.	L	M	1. WAZ emergency procedures in place 2. Community selection procedures are in place
Financial Risks				
Adverse fluctuations in macro-economic factors	The Kwacha in the recent past has not performed well compared to other currencies. If the current government continues in power after elections, it is anticipated that the Kwacha will lose more value compare to other currencies.	H	H	1. Constant monitoring of situation to ensure that action is taken by WAZ. 2. Management will review the impact of price on key materials.
Poor In-country fundraising	WAZ has struggled with in-country fundraising and if the situation continues, it will be difficult to achieve the implementation of the strategy.	H	H	1. WAZ works closely with WAUK fundraising teams to develop strong proposals to ensure improved success rates. 2. Donor scoping exercise underway is being conducted to identify potential in-country donors. 3. Fundraising strategy development underway. 4. Contract management systems have been put in place to ensure adherence to grant terms and conditions
Financial	There is a likelihood that WAZ may lose finances	H	H	1. External & internal audits to be conducted

mismanagement & inadequate systems in place	due to fraud at both WAZ and partner offices. The systems in place might be inadequate to prevent financial mismanagement				timely. 2. WAZ ensure that partners have financial management guidelines. 3. Partner financial monitoring visits planned for every quarter. 4. Policy in place on reporting fraud and serious malpractice. 5. Regular refresher trainings for staff on WA's stance on fraud 6. WAZ will work with partners to ensure that systems have been put in place 7. WAZ will continuously review and strengthen own systems to prevent and detect fraud.
Strategic Risks					
Recruitment, retention and release of staff	Uncompetitive staff terms and conditions of service leading to staff resignations	M	M		1. Staff salaries are reviewed annually in line with survey done by INGO forum. 2. Team building activities have been to ensure team spirit is maintained.
Management of growth	Ineffective management of change. Internal communications difficulties and systems not coping.	M	H		3. New Staff inductions/ annual appraisals/Job descriptions/accounts manuals/staff trainings/disciplinary procedures/ internal & external audits all are aimed at clarifying/communicating and checking on adherence to rules 4. Staff roles are clearly clarified in their JDs 5. Clear delegation of authority & statements on resultant responsibility
Regulatory Environment	There is unclear regulatory environment regarding registration of INGOs in Zambia following the enactment of the NGO Act.	L	H		1. WAZ is registered with the Ministry of Community Development Mother & Child Health but is also operating under an MoU with Ministry of Finance and national Planning. The MoU runs up to 2016.

		(green)	(red)	2.	WAZ is still looking at the possibility of registering with PACRA (Patents & Companies Registration Agency)
Key relationships	Poor relationships affect the quality of WaterAid's work (eg relationships with donors, partners, government ministries, and relationships between leadership, managers, staff, peer relationships etc)	M	M	1.	Communication channels regarding dealings with different stakeholders / relations have been made clear to all staff.
				2.	The WA code of conduct has been enforced. All staff are required to treat all WAZ stakeholders with respect and also conduct themselves in a respectful and professional manner.

Operational & Partnership Risks

Poor quality of work implemented	1. Partners do not have staff with qualifications and/or expertise essential to complete work to the required quality and legal standards (e.g. engineers); alternatively partners do have these staff when an MoU is signed but are unable to retain them. 2. WAZ staff lack capacities to implement some projects and staff turnover also affects project implementation 3. Commissioning of water facilities supported by WAZ before completion of water quality tests	H	H	1. WAZ is supporting key partners to recruit and retain qualified staff such as engineers; 2. Qualifications of partner staff are checked as part of joint monitoring visits. 3. WAZ is investing in staff retention so that key staff are retained. 4. Water quality testing is done for all new & rehabilitated water points before commissioning 5. Water Quality Policy is in place and has been updated		
Poor handovers	WAZ has no proper handover system especially for information relating to projects. This has affected implementation as new staff have no information to work with	H	M	6. Automatic backup system has been introduced to manage the backing up of data 7. Proper documentation and filing has been encouraged for all staff. 8. Handover plans are developed by HR for every employee leaving the organisation.		

Environmental Risks

Climate change	Climate change has a negative effect on our work. Some areas in the country are now prone to draught hence the increase of dry boreholes.	H	M	1.	WAZ will work with other organisations that are looking at issues of climate change.

Appendix 3: Considerations for selection of geographical location

Considerations for selecting geographical operational location has been broken into three main categories: **General,** which includes general level of poverty, settlement patterns and geographical location of an area. The second category are **elements related to WASH service delivery**. These include coverages of WASH, incidence of WASH related diseases, water quality challenges and maternal and child health indicators. The last category involves **elements that complements WASH interventions**. These include functionality of structures and presence of complementary interventions such as CLTS and nutrition/food security programs. These elements are described in detail in the following table below:

Poverty levels and population density:	General level of poverty and population density per sq.km as indicated by the CSO's reports will be used as a starting point in identifying potential areas for WAZ operations.
Low Geographical WASH Coverages:	The most excluded are usually found in the areas with low WASH coverage. Comparison of geographical coverage for WASH services will give us an indication of where we need to work.
Settlement Patterns:	Settlement patterns differ from one area to another depending on people's main occupation. This consideration has two aspects: densely populated with poor WASH facilities (e.g. peri-urban) and/or scattered and isolated settlements with little possibility to benefit from communal service delivery systems.
Geographical Locations:	This is refers to hard to reach areas – such as islands, valleys and boarder areas, where communities tend to be excluded from service provision due to difficult access considerations and technological challenges.
Incidence of WASH related diseases:	WASH related diseases of public health importance include diarrhea, dysentery, cholera, Trachoma and Typhoid. High incidence of these diseases is an indication of poor water, sanitation and hygiene in terms of quality of services human behaviors.

Complementarity:	Complementarity in form of WASH related interventions and level of functionality of structures. Complementary interventions includes CLTS or have areas which have attained ODF status. Other complementary intervention include nutrition and food security. These will maximize the benefits from WASH. In terms of structures, the stronger the better. However, where they do not exist, they need to be created.
Water Quality Challenges:	Water quality challenges in terms of contamination and/or scarcity of water. The important question to ask is 'what is there water challenge in terms of (a) contamination of ground water sources; (b) water scarcity as a result of low water table.

Criteria for selecting a new geographical location

The following will be used for selecting new geographical location for WaterAid work in Zambia:

Name of the Geographical Area:
_____

s/n	Description of Criteria	Points	Score
1.	General (30%)		
1.1	High level of poverty (general poverty)	10	
1.2	Settlement patterns (densely poor facilities or scattered)	5	
1.3	Is a growth center potential (possibility for small piped scheme)	5	
1.4	Geographical location (hard to reach - border, Island, valley)	10	
	Sub-total score	*30*	
2.	WASH related elements (50%)		
2.1	Low WASH coverage	15	
2.2	High incidence of WASH related diseases	15	
2.3	High infant mortality rate	5	
2.4	High maternal mortality rate	5	
2.5	Challenges of water (contamination and scarcity-low water table)	10	
	Sub-total score	*50*	
3.	Complementarity (20%)		
3.1	Presence of other WASH players		
1.	Functionality of structures	10	
1.	Complementary interventions (CLTS, Nutrition)	10	
	Sub-total score	*20*	
	Grand Total	**100**	

Comments: